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ENHANCING EMERGENCY PREPAREDNESS AND RESPONSE: PARTNERING WITH THE PRIVATE BUSINESS SECTOR

by

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December 2009

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This thesis examines the challenges to building public private partnerships between the government and the private business sector. Through interviews with subject matter experts this research identifies the four most critical factors local government must address when contemplating the development of a public private partnership. A cross disciplined approach and incentives are offered to local government as recommendations to facilitate partnership building.

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**ENHANCING EMERGENCY PREPAREDNESS AND RESPONSE:
PARTNERING WITH THE PRIVATE BUSINESS SECTOR**

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ABSTRACT

In order for local government to have a comprehensive emergency management program, all facets of the community, including the private business sector, must be engaged and given the opportunity to contribute. Furthermore, because neither the public sector nor the private business sector has enough expertise or resources to manage a major disaster alone being able to work collaboratively can provide an essential tool to facilitate a coordinated response. For some jurisdictions the development of a public private partnership for emergency preparedness and response has offered a conduit for such collaboration.

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I. INTRODUCTION

A. PROBLEM STATEMENT

As everyone saw on September 11, 2001, and during Hurricane Katrina, local public resources will be overwhelmed during large-scale emergencies. Even though mutual aid agreements between localities will be implemented, and state and federal resources will be brought to bear, there will likely still be unmet needs.

Businesses can provide essential resources to supplement government efforts. Partnering with the business sector not only makes sense but is eventually necessary regardless of the lack of plans in place. The key to effective emergency management is building relationships and systems through collaboration and planning before disaster strikes. Likewise, partnering with private business to assist them in preparing their employees in the event of an emergency serves the community as a whole by lessening the demand for local services in times of crisis. Consequently, the business sector needs to become an integral part of local government's overall plan to prepare for, respond to, and recover from emergencies. Moreover, local government needs a way to partner with those small- to medium-size private businesses that constitute the majority of its business community and who may not have a national voice or mechanism of influence.

Federal doctrine, such as the 2007 National Strategy for Homeland Security (NSHS), states that the responsibility to secure the homeland needs to be a shared effort between federal, state, local, and tribal governments, the private and non-profit sectors, communities, and citizens. The NSHS recognizes that to shape a comprehensive all-hazards approach to emergency management, there needs to be clearly defined roles and responsibilities across all levels of government and the private and non-profit sectors. Additionally, the private sector is identified as playing an essential role in the rapid restoration of commercial activities and critical infrastructure operations, the mitigation of consequences, improving quality of life, and accelerating recovery.

National Response Framework begins to operationlize the concepts addressed in the NSHS, namely, the integration of the private sector in the all hazards response capabilities of the federal government, by assigning responsibilities to the private sector in regards to preparedness, mitigation, response and recovery. In conjunction with federal efforts to incorporate the private sector, many state government strategic initiatives have included the private sector as well. Initiatives such as, Virginia's 2005 Secure Commonwealth Initiative Strategic Plan (SCISP), which requires the state and localities to coordinate with the private sector for planning, communications, policy development, intelligence sharing, notification systems, Emergency Operations Center participation, and the maintenance of strong collaborative relationships.

Despite governmental doctrine indicating the importance of partnering with the private sector, there remains a gap in emergency preparedness planning between local government and its private business sector community.

B. RESEARCH QUESTION

Partnering with the private sector is a necessary, but often missing, component in the coordination of emergency preparedness efforts by local government. How can local government effectively build partnerships with its private sector businesses to enhance the community's ability to prepare for, respond to, and recover from disasters? What obstacles may deter local government and/or private sector businesses from engaging in partnership building?

C. SIGNIFICANCE OF RESEARCH

Existing public private partnerships that focus on emergency preparedness and response take varying forms. Some have been in existence for years, such as the Red Cross which has been involved with disaster relief, collaborating with the public sector to provide resources and services. This research will contribute to national discussion by focusing on an emerging trend, that is, partnerships developed to integrate the government and private business sector to provide a conduit for emergency preparedness and response coordination.

While the literature is clear that there is a need for such partnerships, determining how to accomplish the task in not clear. This research will provide insight into specific and potentially unique factors found in successful partnerships that contributed to their success. The outcome of this research will provide recommendations for local government to facilitate partnering with the private business sector.

D.   FINDINGS AND RECOMMENDATIONS

Through an examination of academic literature and interviews with subject matter experts, this researcher identifies the four most critical factors local government must address when contemplating the development of a public private partnership. Specifically, leadership, trust, mutual benefit, and capacity are identified as essential for partnership development.

It is offered that first and foremost, local government must identify its need and capacity to engage in partnership development through a cross disciplined approach to networking. Furthermore, local government should consider an incentive program to further engage the private business sector in emergency preparedness and response.

E.   LITERATURE REVIEW

Public-private partnerships are not new phenomena; however, their specific significance in the field of homeland security and emergency management continues to emerge. This review examines public-private partnerships in the following sub-literatures: 1) Government document (mandates and directives); 2) business management (private sector relevance.); and 3) reports and journals (current state of affairs).

1.   Government Documents—Mandates and Directives

Recognition that the private sector has a role to play in homeland security and emergency management was articulated in the 2002 National Strategy for Homeland Security:

A close partnership between the government and private sector is essential to ensuring that existing vulnerabilities to terrorism in our critical infrastructure are identified and eliminated as quickly as possible. (Office of Homeland Security, 2002, p. 12)

To further the federal government's efforts to collaborate with the private sector, Homeland Security Presidential Directive (HSPD) # 5, states:

The Federal Government recognizes the role that the private and nongovernmental sectors play in preventing, preparing for, responding to, and recovering from terrorist attacks, major disasters, and other emergencies. The Secretary (Secretary of Homeland Security) will coordinate with the private and nongovernmental sectors to ensure adequate planning, equipment, training, and exercise activities and to promote partnerships to address incident management capabilities. (Office of Homeland Security, 2003, p. 281)

The catastrophic events surrounding Hurricane Katrina only confirmed that the responsibility to secure the homeland needs to be a shared effort between federal, state, local, and tribal governments, the private and non-profit sectors, communities, and citizens all sharing common goals and responsibilities (Homeland Security Council, 2007). The 2007 National Strategy recognizes while improvements have been made in partnering with the private sector, efforts must continue to achieve a strong integrated national approach (Homeland Security Council, 2007, p. 7).

The 2007 National Strategy for Homeland Security asserts that the foundation of an effective all-hazards plan lies in clearly defined roles and responsibilities across all levels of government and the private and non-profit sectors, coupled with strengthened policies, joint planning, and advance readiness activities (Homeland Security Council, 2007 p. 32). The Strategy recognizes that 85 percent of the critical infrastructure in the United States is controlled by the private sector (Homeland Security Council, 2007, p. 42). This means that in the event of an emergency, the private sector plays an essential role in the rapid restoration of commercial activities and critical infrastructure operations, the mitigation of consequences, improving quality of life, and accelerating recovery (Homeland Security Council, 2007, p. 33).

The 2007 National Strategy for Homeland Security's goal to respond to and recover from incidents is operationalized in the National Response Framework (NRF). The National Strategy called for the NRF to be clearly written, easy to understand, and designed to be truly national in scope, meeting the needs of state, local, and tribal governments, and the private sector and non-governmental organizations (NGO), as well as the federal government (Department of Homeland Security [DHS], 2008, p. 12).

The NRF recognizes that the government does not have the resources to handle every emergency and, therefore, must partner with the private sector (DHS, 2008, p. 18). Additionally, because the private sector's critical infrastructure and key resources such as water, power, transportation, communications, and medical care are crucial elements for emergency response and the resiliency of the community, private sector planning and coordinating with emergency management are essential components to an effective operational plan. To further emphasize the importance of the private sector's role in emergency management, the NRF went so far as to assign the sector responsibilities. These include:

- Planning for the protection of employees, infrastructure, and facilities.

- Planning for the protection of information and the continuity of business operations.

- Planning for, responding to, and recovering from incidents that impact their own infrastructure and facilities.

- Collaborating with emergency management personnel before an incident occurs to ascertain what assistance may be necessary and how they can help.

- Developing and exercising emergency plans before an incident occurs.

- Where appropriate, establishing mutual aid and assistance agreements to provide specific response capabilities.

- Providing assistance (including volunteers) to support local emergency management and public awareness during response and throughout the recovery process. (DHS, 2008, pp. 19–20)

In conjunction with federal efforts to incorporate the private sector, states have identified the need to collaborate with the private sector. As an example, Virginia's Secure Commonwealth Initiative Strategic Plan (SCISP), a document designed to guide the development of more specific preparedness strategies, identifies the private sector as a vital partner (Commonwealth of Virginia, 2005, p. 5). The SCISP implements initiatives requiring the state and localities to coordinate with the private sector for planning, communications, policy development, intelligence sharing, notification systems, Emergency Operations Center participation, and the maintenance of strong collaborative relationships (Commonwealth of Virginia, 2005, pp. 30–31).

2.   Business Management

For businesses, the probability that an operational crisis will occur is high. A recent study indicates that over any five -year period, there is an 80 percent likelihood of a publicly traded business being involved in a major crisis often leading to a 20 to 30 percent decline in corporate stock price in the 30 days following the crisis (Raisch, Statler, & Burgi, 2007, p. 18). Economic losses due to natural disasters have increased significantly over the last 25 years; in 2004, economic losses due to natural disasters around the world totaled $120 billion (Auerswald, 2006. p. 6). In 2005, damage estimates were over $150 million from just Hurricane Katrina alone (Burton & Hicks, 2005, p. 6). It would follow then that businesses are being held accountable for managing risks more today than in the past. Moreover, because more acts of terrorism have occurred in the U.S. where and when people work; it is essential that interventions for preparedness, response, and recovery occur in occupational settings (Ursano, 2006, p. 8).

A fair amount of the academic discussion regarding collaboration between the public and private sectors relates to critical infrastructure and corporate continuity. Preliminary investigation indicates that there is less emphasis on the importance of employee preparedness and its significance to corporate resiliency. The concept of human continuity is addressed by Dr. Robert Ursano (2006) in *Workplace Preparedness for Terrorism*, who states that human continuity is the critical element in corporate

continuity. He goes on to say that sustaining the workforce sustains communities. Therefore, focusing preparedness on protection of buildings, property, and product rather than employee health and behavior may put corporations at risk of disruptions during disasters (Ursano, 2006, pp. 8–9).

Aside from the private sector's role as the "keeper" of critical infrastructure and key resources, according to the Advisory Panel to Assess Domestic Response Capabilities for Terrorism Involving Weapons of Mass Destruction in its Fourth Annual Report to the President in 2002, the private sector also comprises over 85 percent of the workforce (Gilmore et al., 2002, p. 30). The National Strategy discusses the importance of community and citizen preparedness. However, the notion of private businesses' responsibility in preparing their employees is not articulated. In a 2007, a study done by the International Center for Enterprise Preparedness (InterCEP) of New York University revealed that there is really a common benefit based on shared interdependencies between government and business. According to Raisch et al., "Traditionally, government maintains civil order in society while business provides for economic well being" (2007, p. 17).

Literary works related to public-private partnership, even though not specific to homeland security and emergency management, are still applicable. In the book, *Public-Private Policy Partnerships*, Chapter 2, the author, Stephen Linder, identifies six types of public-private partnerships:

1. Management reform;

2. Problem conversion;

3. Moral regeneration;

4. Risk shifting;

5. Restructuring public service and;

6. Power sharing (Rosenau, 2000, pp. 26–32).

The later type, as described in *Strategic Issues in Public-Private Partnerships: An International Perspective,* is a partnership in which business-government relations are

altered through 1) an ethos of co-operation and trust, 2) mutual beneficial sharing of responsibility, knowledge or risk, and 3) give-and-take and negotiating differences (Bult-Spiering & Dewulf, 2006, p. 16). It appears that "power sharing" between the public and private sector for homeland security and emergency management could constitute an optimum partnership.

Linder also suggests that members of the private sector have a vested interest in the sustainment of their community, "no enterprise can thrive sustainably in an impoverished and dangerous public environment."(Rosenau. 2000, p. 10), which indicates that efforts towards preparedness, both internally and externally, increase corporate value.

Overall, the literature thus far reviewed suggests that the benefits of public-private partnerships potentially outweigh the challenges.   However, the literature also overwhelming refers to the federal government as the public entity in the public-private partnership paradigm.   The Department of Homeland Security's Lessons Learned Information Sharing System, (DHS, n.d.) gives a board overview on the subject; however, minimal research has been discovered, thus far, that relates to emergency management partnership building between local communities and the private sector.

3.   **Reports and Journals**

Despite the government's mandate that coordinating with the private sector is essential to securing the homeland, there are those who feel there is still much work to be done. Stephen Flynn and Daniel Prieto, in their 2006 Council on Foreign Relations Report entitled, *Neglected Defense: Mobilizing the Private Sector to Support Homeland Security,* state:

> In policy and strategy documents since September 11, 2001, the Bush administration and Congress have repeatedly stressed the critical importance of "public-private partnerships" to make the country safer. Yet the capabilities, assets, and goodwill of the private sector to bolster our homeland security remain largely untapped. (p.1)

Flynn and Prieto go on to say that although the National Response Plan [NRP] acknowledged the importance of the private sector in the management of high consequent events, its response to Hurricanes Katrina and Rita were largely self-initiated with little effective response coordination and management from federal government (2006, p. 2). Some recommendations made in this report, such as the need for leadership, improved information sharing, monetary incentives, liability protection, and more training and exercises, have been common themes throughout the literature (Flynn & Prieto, 2006, p. 4).

The issue of information sharing has been addressed by the Assistant Secretary for the Private Sector Office of the Department of Homeland Security, when addressing challenges to public-private partnerships before the U.S. House of Representative Subcommittee on Homeland Security. He stated that risks may include:

> Concern by the private sector regarding potential liabilities associated with sharing information with governments, and for voluntary actions taken to assist in recovery from disasters. Many businesses would like to collaborate, but are deterred by real or perceived liability issues. (Martinez-Fonts, Jr., 2007)

Daniel Prieto states in his work, *Information Sharing with the Private Sector,* that the unsettled organization landscape in the federal bureaucracy, namely the Department of Homeland Security, provides real challenges to improving information sharing with the private sector (2006, p. 410).

Likewise, the costs associated with increased security measures, fear of open-ended liability issues, lack of protection from law suits, the current regulatory environment, and the fear of public disclosure of propriety information in the competitive market have all been cited as challenges to effective public private partnership building (Business Executives for National Security [BENS], 2007, p. 31; Kayyem & Chang, 2002, p. 7; Siperco, 2006, p. 2). Even though challenges do exist, Raisch et al (2006) in their report *The Legal Obligation of Corporate Preparedness*, opine that negligence laws require corporations to exercise reasonable care under the circumstances. Given changes in hurricane projections, business risk analysis indicating probabilities, gravity of

resulting injuries, and the burden of adequate precautions there is increased potential for corporate liability if unprepared. Despite perceived challenges or obligations, the literature shows that businesses need a clear and persuasive business rationale in order to invest time and money into partnership development (Raisch et al., 2007).

F.   METHODOLOGY

The primary source of data for this thesis was garnered from a thorough analysis of academic literature and interviews with subject matter experts (SME) from differing perspectives (see Figure 1). Some SME's were selected through the Critical Incident Protocol (CIP) Community Facilitation Program, a DHS sponsored program, developed by the School of Criminal Justice at Michigan State University to build public-private partnerships in cities, counties, and regions across the nation for joint critical incident management utilizing an all hazards approach (Weber, n.d.). Initially, an email was sent to program participants to solicit interest to participate in the research. Members of the Southeast Wisconsin Homeland Security Partnership (SWHSP) responded and were subsequently chosen as research participants based on their state and regional experience in partnership building over time and their "middle America" location. Conversely, a SME was selected from New York City, a very urban area where the threat level is high. Additional SME were identified based on their relevant perspective to the issue namely, federal, state, and local government officials, along with representatives of the private business sector who are currently involved in varying degrees of public private partnerships. Of interest was discovering whether or not the SME perspectives would differ based on geographic location, level of government, and / or sector affiliation.

Interviews were conducted primarily over the telephone and all were recorded. Interview questions were geared towards the identification of factors contributing to partnership development and sustainability; however, interviewees were also encouraged to provide their unique perspective based on their experience. A thematic analysis was conducted of the data gleaned from the interviews. Each interview was transcribed, examined for themes related to the research question, and coded. Theme identification

was based on the research findings in the literature, such as strong leadership, clear mission, trust, and mutual benefit (priori code); as well as any theme intuitively of interest to this researcher (inductive code).

The combination of perspective and thematic analysis allowed this researcher to draw conclusions regarding specific factors contributing to the success of public-private partnerships. From these findings recommendations are offered for the development of public private partnerships for local government.

G.   CHAPTER OVERVIEW

In Chapter I, the literature review of government strategies and doctrine point to the government's recognition that the private business sector has an important role in the preparedness, prevention, response, and recovery efforts on a national and state level. Chapter II will illustrate the important interconnected role the private business sector plays in the economic health and well-being of communities; and, thus, local governments need to build a collaborative approach to emergency preparedness and response. Chapter III discusses the complexities surrounding coordination between the public and private business sector. An overview highlighting some of the fundamental differences between the sectors are explored along with specific challenges to partnering. In Chapter IV, the challenges to partnering will be further examined as federal, state, and local government officials along with private business representatives offer their expert viewpoint regarding public private partnership for emergency preparedness and response. This examination will provide the basis for the identification of those factors considered critical to the development of a public private partnership. Additionally, overviews of three different public private partnerships are offered. Finally, in Chapter V, a cross disciplined approach and incentives are offered to local government as recommendations to facilitate partnership building.

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II. IMPORTANCE OF PARTNERING WITH THE PRIVATE BUSINESS SECTOR

In order for local government to have a comprehensive emergency management program, all facets of the community, including the private business sector, must be engaged and given the opportunity to contribute. Furthermore, because neither the public sector nor the private business sector has enough expertise or resources to manage a major disaster alone being able to work collaboratively can provide an essential tool to facilitate a coordinated response.

In Chapter I, the literature review of government strategies and doctrine point to the government's recognition that the private business sector has an important role in the preparedness, prevention, response and recovery efforts on a national and state level. Furthermore, the literature suggests that establishing a partnership between the public sector and the private business sector to tackle the coordination of these efforts has benefits that should outweigh the challenges to facilitating such collaboration. First, this chapter offers a definition of a public private partnership for emergency preparedness and response to provide context. Secondly, a brief history of the public private partnership concept with examples of the private business sector's contributions to the public sector's emergency response efforts. Third, the importance of partnership building between local government and the private business sector will be addressed. In particular, the interdependencies of both sector's roles towards local community resilience and the mutual benefit of resource sharing. Lastly, an overview of potential consequences should public private collaboration be not addressed is offered for consideration.

A. DEFINING PUBLIC PRIVATE PARTNERSHIP

There are many definitions of public private partnership. Some of the definitions differ quite a bit; however, all of the definitions appear to have, at the core, a mutually beneficial collaborative effort in which both parties share responsibility for the outcome of their work.

For example, in Robert A. Beauregard's work (1998) regarding partnerships in urban governance titled, *Public-Private Partnerships as Historical Chameleons,* he defines public private partnerships as representatives from the public sector (government) and the private sector (for-profit business) establishing an instrumental, calculative, and more-or-less enduring relationship for mutual benefit, sharing responsibility and consequences for their actions. Without the partnership, the tasks would be much more difficult, less likely to succeed, or impossible (Beauregard, 1998, pp. 53–54).

In contrast to Beauregard's definition is Pauline V. Rosenau, in *Public Private Policy Partnerships*, who posits that authentic partnering involves a close collaboration and combination of the strengths of both the private sector and the public sector (2000, p. 219). More exacting, Michael Reich wrote in *Public Private Partnerships for Public Health,* that a good definition includes three points (2002). First, partnerships involve at least one private for-profit organization and at least one not-for-profit or public organization. Second, the partners have some shared objectives for the creation of social value, often for disadvantaged populations. Finally, the core partners agree to share both efforts and benefits (Reich, 2002).

In their 2002 study entitled, *Toward an Understanding of Types of Public-Private Cooperation*, Schaeffer and Loveridge concluded that the term public private partnership has been used to describe various forms of public private *cooperation* leaving no agreement on the precise meaning of the phrase public private partnership. They differentiate "partnership" from other forms of cooperation (leader-follower relationship, exchange relationship, and joint ventures) as a close and open-ended form of cooperation (Schaeffer & Loveridge, 2002, p. 186). They point to the National Child Care Partnership Project's definition which stresses the partnership's ability to change in response to emerging needs, take advantage of new opportunities, and share responsibility for decision-making amongst its partners as an example of the open-ended partnerships (Schaeffer & Loveridge, 2002, p. 180).

All of the aforementioned definitions concede that in order to have a public private partnership, one needs at least one public and one private sector member. Likewise each definition points to the sharing of success and failure along with the notion

of added value as requisite components. The idea of "open-ended" versus "enduring" suggests that partnerships may be established for either a singular or long term issue.

For the purpose of this study, a public private partnership focused on emergency preparedness and response is broadly defined as representatives from the public (government) sector and private business sector collaborating to enable communities to better coordinate emergency preparedness, prevention, response, and recovery efforts.

B   HISTORICAL EXAMPLES

The private business sector's involvement in disaster response along with the concept of public private partnerships as a means to solve complex governmental problems is not new. Such partnerships have formed to tackle many different societal arenas from education to health care to economic development (Schaeffer & Loveridge, 2002). In fact, the United States has been cited as having one of the longest traditions of public-private partnerships, starting in the 1950s and 1960s when the federal government utilized partnerships as a stimulus tool for private sector investment in inner-city infrastructure and regional economic development (Beauregard, 1997; Bult-Spiering & Dewulf, 2006; Linder, 1999). Robert A Beauregard, in his essay entitled, "Public-Private Partnerships as Historical Chameleons: The Case of the United States," suggests that the reasons for the emergence of public private partnerships in the United States can be traced back to specific presidential political agendas and their subsequent policy initiatives, starting with the Nixon administration and continuing through both the Carter and Reagan administrations (1998, p. 52). Beauregard highlights three salient reasons identified by the proponents of public private partnerships:

1. Lessening role of national government in local affairs

2. Declining faith in government and rising aversion to taxes

3. Local economies requiring private sector capitol, expertise, and leadership to solve "public problems." (1998, p. 52)

Beauregard goes on to say, "Public-private partnerships are presented by their proponents as an enlightened response to compelling conditions and a new and viable solution to the problems that plague U.S. cities" (1998, p. 52).

It is interesting to note that many of the public private partnerships established over time have been motivated by an interest in less federal government involvement, fewer taxes, and more local control. These ideas seem to be in direct opposition to current efforts for establishing public private partnerships for emergency preparedness and response. The creation of the Department of Homeland Security, with all of its bureaucracy, is unlikely to be seen as less federal government involvement. Likewise, the emphasis on federal and state government representation in public private partnerships will never be viewed as representative of local concerns. Certainly there is an important role for federal and state representation in developing public private partnerships; however, these roles should not be to the exclusion of local government.

The private sector's efforts in emergency response and recovery has been noted from as early as the days of President Franklin D. Roosevelt's fire side chats, where he highlighted the "splendid cooperation" between the government and industry as an example of how the American people not politicians would turn the tide of the war (Siperco, 2006, p. 1). Recognizing the parallel, President George W. Bush reminded the nation after 9/11 that not since World War II had American values and way of life been so threatened and thus called homeland security "our new national calling." (Flynn & Prieto, 2006, p. 43). This call to action was the President's attempt to enlist the support of, not only the average citizen, but all segments of society, including the private business sector as the country faced a new threat. The emphasis being that securing the homeland should be everyone's responsibility.

More recently, as described by Flynn and Prieto in *Neglected Defense Mobilizing the Private Sector to Support Homeland Security*, the private sector's contributions to the response efforts during Hurricane Katrina and Rita were in many instances better coordinated then those of the government:

> In response to Hurricanes Katrina and Rita, companies like Walmart and
> Home Depot proved far more nimble at providing manpower, materials,

and logistics than many parts of the federal government. While truckloads of ice contracted by the Federal Emergency Management Agency (FEMA) were stranded for days with no direction on where to go, national retailers were organizing important distribution points for food, water, clothing, generators, and other supplies. (2006. p. 9)

As highlighted in the *Federal Response to Hurricane Katrina: Lessons Learned*, in some instances, although private sector contributions were available, the lack of a coordinated plan contributed to the government's inability to accept assistance from private sector resources, "FEMA could neither efficiently accept nor manage the deluge of charitable donations. Private sector companies also encountered problems when attempting to donate their goods and services to FEMA for Hurricane Katrina response efforts" (Townsend, 2006, p. 45) While it appears the private sector answered former President Bush's call for action, the federal, state, and local government's seemed ill-prepared to effectively recognize and coordinate the services and resources offered. This lack of coordination between the public and private sector leads to wasted much needed resources.

There are many examples of the private sector's contributions to disaster response from cash donations to the distribution of goods and services. In 2005, *The Washington Post* ran an article entitled "Setting Up," lauding the contributions of corporate America during recent disasters, specifically, noting that after the attacks of September. 11, 2001 corporate donations totaled $750 million and in 2004 after the tsunami hit South Asia $600 million was donated by corporations (Birnbaum, 2005). The author praised private sector contributors to the response efforts during Katrina; these included retail stores, telecommunications companies, hotels, rental car companies, pharmaceutical companies, and motor vehicle corporations, all of whom provided goods and services (Birnhaum, 2005). Andrew Schneider, in his 2008 Kiplinger Letter article entitled, "Multinationals Rev up Disaster Relief Efforts," noted the tremendous contributions corporations made to China's earthquake response, including millions of dollars in donations to non-governmental organizations as well as equipment and services. What is unclear about these private sector led efforts is to what extent governments (federal, state, local) were involved or coordinating these activities. If there was government involvement, might

these incidences produce attributes of future successful models or, if government activity was lacking, one might question why a public private partnership is needed at all.

C.   COMMUNITY RESILIENCE

Much of the discussion regarding public-private partnerships (PPPs) is focused on collaboration at the state and federal government levels. That is not to say these discussions are not important but rather to say that collaboration at the local level is more urgently needed when unforeseen disaster strikes. From the perspective of the first responder community, "all homeland security events, whether caused by terrorism or by natural disasters or public health issues, begin as local events" (Kettl, 2007, p 78). Likewise, as stated in the Business Executives for National Security (BENS)[1] piece entitled *Building a Resilient America*, "To strengthen our nation, we must create a culture of preparedness that begins at the grass roots level" (BENS, 2009c, p. 1). Put simply, emergency preparedness and response must start at the community level where the initial impact of disaster is greatest and needs are most urgent.

To that end, local government and the private business sector need to collaborate to develop a "continuity of community" (BENS, 2007, p. 13). In order for a community to remain economically viable after disaster strikes, local government needs to ensure that businesses and their employees are capable of resuming business as quickly as possible. In fact, local government and the private business sector share not only an interest in the economic viability of their communities but also a mutual responsibility. Local government is accountable to the residents of the community while private business is accountable to its stakeholders. Although this may appear to be mutually exclusive, in actuality private business, its stakeholders, and its employees are important members of the community. The private business sector and its employees are as much a part of the local community as its residents. Even though business employees may reside elsewhere, they are likely to have professional, social, and economic interests in the

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[1] BENS is a national nonpartisan organization dedicated to enhancing national security using successful models of the private sector. One of the BENS program areas supports the establishment of public-private partnerships for emergency preparedness and response.

community where they work. Their financial, cultural, and civic contributions are as much a part of community landscape as those who reside there. Likewise, although corporate stakeholders may live outside the immediately effected community, their business interests lie in the resiliency of the communities where their business resides; if businesses cannot function then corporate value will be lost which, in turn, means stakeholders' financial holdings may be lessened.

Therefore, given that the private sector workforce resides within a community and that stakeholder interests rely on their business remaining functional, coordinating preparedness and response efforts between local government and the private sector should both serve the community as a whole and increase corporate value. The public and private business sectors are dependent on each other to provide services to the community. Raish et al., in their 2007 study entitled *Mobilizing Corporate Resources to Disasters: Toward a Program for Action,* discuss the shared interdependencies between government and business by stating, "Traditionally, government maintains civil order in society while business provides for economic well being. Each depends on the other to sustain a safe and prosperous society" (p. 17). Raish et al., offered their "Rings of Resilience of a Business" diagram (Figure 1) to illustrate how a business's resilience to disaster can impact all phases of society (2007, p. 17).
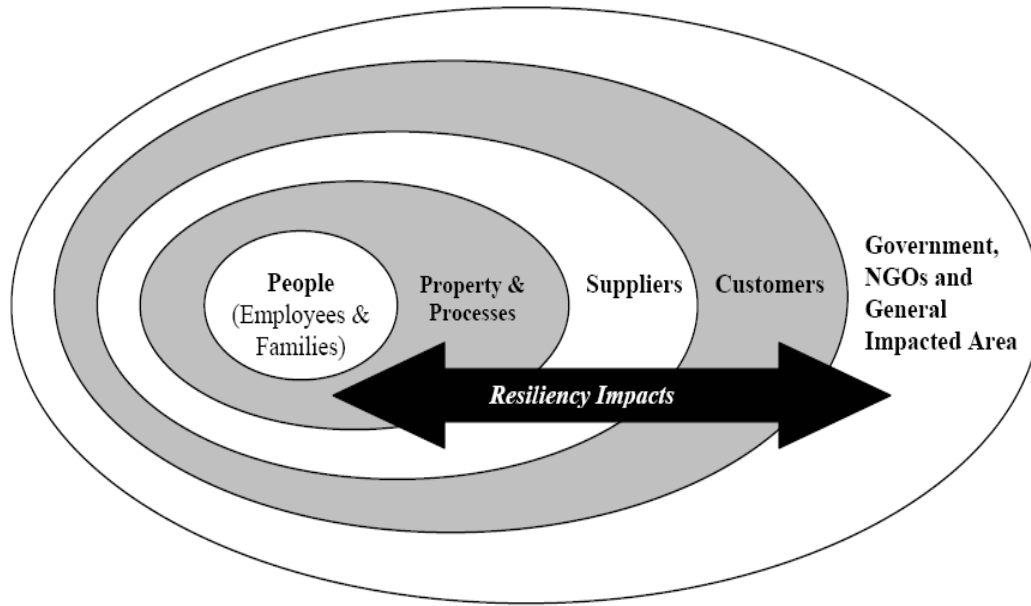
Figure 1.   Rings of Resilience of a Business (From Raish et al., 2007, p. 7)

The impact of Hurricane Katrina, although an extreme example, offers a sense of the economic impact that a disaster has on businesses as well as the interdependencies shared between the public and private business sector. Preliminary damage estimates, from a 2005 study conducted by Burton and Hicks for the Center for Business and Economic Research, stated there was well over $156 billion in damages, of which, all but $75 billion was in the commercial business sector (p. 6).[2] Without private business sector resources and services, the ability to rebuild the community would be difficult if not impossible. Not only does the community rely on the private business sector for basic needs (e.g., food, utilities, healthcare) but, it relies on the private business sector for employment. In order for public services to remain sustainable, there must be a tax base to draw from; if citizens are unemployed and, therefore, unable to pay their taxes, public services will diminish. Likewise, the same citizens will not have the means to support the business community through their purchasing power. This interdependency provides a compelling reason for local government and private business sector to work together to ensure their community remains sustainable.

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[2] It is important to note that this study did not include the loss of lives or recovery costs.

At the most basic level, preparedness planning, regardless of sector identification, involves managing risk by evaluating the probability of suffering loss, determining the impact, and taking steps to mitigate the impact. With that in mind, local government must have a vested interested in the private business sector's emergency preparedness efforts, not only regarding private sector infrastructure but employee preparedness as well. Private business only exists as long as it remains viable, profitable, and sustainable. According to an article in *Business Week,* "A company cannot bounce back unless its customers and employees do" (King, 2008, p. 1).

A truly prepared business should mean less damage, employees return to work sooner, and local government response resources are lessened. A dramatic example of a prepared business and the resulting consequences lies in the story of Morgan Stanley / Dean Witter, an investment banking firm located in the World Trade Center, on September 11, 2001. Through the dedication and persistence of the Vice President of Security, Richard Rescorla, the investment firm had a robust evacuation plan that was exercised routinely and consistently. Morgan / Stanley's prior planning resulted in the successful evacuation of 2,687 of their employees from the South Tower of the World Trade Center on September 11, 2001 (Ripley, 2008, p. 210). Lives were saved, the workforce remained intact, and public safety resources had 2,687 less people to rescue. Morgan Stanley's preparedness planning certainly illustrates Don Kettl's statement in his book, *System under Stress*, "Response works best when it is tightly linked to preparedness" (2007, p. 78). If local government and the private business sector can partner to coordinate preparedness efforts across both sectors then response efforts will be more effective.

D.   RESOURCE SHARING

During large scale emergencies, local public resources may be overwhelmed. Even though mutual aid agreements between localities will be implemented and state and federal resources will be brought to bear, there will most likely be unmet needs. Businesses can provide essential resources to supplement government efforts such as supplies, inventories, storage facilities, distribution systems, vehicles, communication

links, and manpower with expertise (Buehler, Whitney, & Berkelman, 2006). Because the private business sector is the primary purveyor of goods and services for the residents of the community, seeking their assistance for resources not only makes sense but is also necessary for the sustainment of the community.

During the aftermath of Hurricane Katrina, Walmart, the world's largest retailer, supplied 2,498 trailers of emergency merchandise, opened temporary mobile pharmacies, and used its stores to provided shelter for its associates and first responders (Rosegrant, 2007). Walmart's emergency operations center mandate had three parts: associate welfare, reconstitution of operations, and community support. Jason Jackson, Walmart's emergency operations center director during Katrina, explained Walmart's post-disaster operational philosophy as, "If we can take care of our folks, usually we can do number two, which is to get operations back up and running. And getting operations up and running, which is bread and butter for us, is the best way that we can serve the community" (Rosegrant, 2007. p. 3). Clearly, Walmart recognized that its business endurance depended on the community's ability to recover.

Beyond the need for immediate supplies, there is an even more important component of private business sector resources. The fact that 85 percent of the critical infrastructure in the United States is controlled by the private sector, including key resources such as water, power, transportation, and medical care, continues to emphasize the criticality of the interdependencies between public and private sector resources (Homeland Security Council, 2007, p. 42). These key resources are crucial not only to the residents but to the business community as well. A community as a whole cannot recover from disaster without the private sector's resources and capabilities. To that end, the public sector needs to assist the private business sector by providing resources to facilitate their recovery process. As an example, during the aftermath of an emergency, local government may need to provide security resources to assist with crowd control or delivery routes in order for private business to provide necessary services.

As highlighted in the literature review in Chapter I, businesses are no stranger to operational crisis. In light of the facts that over any five year period there is an 80 percent likelihood of a publicly traded business will be involved in a major crisis (Raisch

et al., 2007, p. 18) and that economic losses due to natural disasters have increased significantly over the last 25 years (Auerswald et al., 2006, p. 6), businesses partnering with the public sector to achieve mutually beneficial outcomes makes good business sense.

E.   STATUS QUO

If one accepts the premise that collaboration between the public sector and private business sector is a necessary component to ensure a community wide approach to emergency preparedness and response then one should be cognizant of what would happen if such collaboration were missing. For many jurisdictions, this missing link constitutes the status quo. It would be disingenuous to claim that without such collaboration emergency response would be imminently disastrous. In fact, the private sector, as previously noted, will still respond and convergence will occur despite the lack of an invitation because it is in its best interest to do so (Waugh & Straub, 2006, p. 133). Joseph Donovan, Senior Vice President of Beacon Capitol Partners, an international real estate management company, when asked if he found it challenging to work through the slow moving bureaucracy of the public sector, perhaps put it best by saying:

> I don't wait, I just move. We're not going to wait. We're not going to wait for you [government]. We are going to get our business back online. If you [government] come forward after the fact and say you can help us, we'll figure it out. We'll do what we have to do and still figure out how we can help you. It's just better for us to know up front what we might need to help you with. (Personal communication, August 10, 2009)

Businesses realize that their livelihood depends on a resilient community, a community that can bounce back quickly, thereby enabling businesses to get back in business. What is important to note, however, is that while private business will still respond, having the forethought to prepare for such a response in advance of the emergency will ultimately save time and resources for both parties. Likewise, understanding that the private business sector not only provides for the day-to-day needs of the immediate community but also recognition of the fact that these services could have national and even, international implications, strengthens the need for collaboration.

For example, although New York City is a local community, albeit a huge community, the effects of 9/11 on the private sector's financial institutions were dramatic and had national and international effects. Stock prices plummeted when the New York Stock Exchange opened six days later. On a smaller scale, a local emergency affecting a community where a national trucking company resides could have devastating consequences for the national delivery system of its private business sector clients. Therefore, understanding and helping to ensure adequate levels of private business sector preparedness not only helps the business but assists the public sector with resource allocation, scene management, and economic stability.

F.   CONCLUSION

In this chapter, it has been argued that the private business sector plays such an integral part in the economic health and well-being of communities that local government must build collaborative relationships with the private business sector to ensure a coordinated comprehensive emergency management plan. Furthermore, such a partnership will provide a conduit for communication and engagement with upper levels of government, thereby increasing the ability for cross sector to networking.

History has shown that local government will likely be overwhelmed during large scale disasters and partnering with the business sector will eventually be necessary, regardless of the lack of plans in place. Moreover, history has also shown that the private business sector will protect its assets and do what needs to be done with or without the assistance of local government. Establishing solid relationships between local government and the private businesses sector, through a collaborative effort, will not only expedite services but improved the community's recovery and sustainment efforts as well.

The demand for public resources can be lessened if local government works with the private business sector to ensure that not only the business itself has emergency plans in place but that its employees are equally as prepared in the event of an emergency. To sustain an economically viable community, businesses and their employees must be

capable of resuming business as quickly a possible. This study suggests that one way to ensure this capability is to develop a sustainable public-private partnership focused on emergency preparedness planning.

The question remains, if working in partnership is vital to a community's resiliency, then what is hindering this collaborative working relationship? This is the topic of the next chapter, namely the complexities surrounding emergency preparedness and response and the challenges for public private partnerships.

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III. COMPLEXITIES AND CHALLENGES

It was argued in Chapter II that because the private business sector plays such an integral role in a community's sustainability and resilience that local government needs to build collaborative relationships through partnerships to enhance the community's overall preparedness. The interdependence between sectors and the mutual necessity to ensure a viable, sustainable community makes the case for public-private partnership (PPP) building seem intuitive. However, the complexities surrounding emergency preparedness and response coupled with the cultural differences between the public and private sector certainly qualifies public private collaboration as a "wicked problem" (Rittel & Webber, 1973, p. 160).

To be sure, the complex issues surrounding the U.S. system of federalism alone would provide enough fodder for a completely separate research question related to emergency preparedness and response. To remain within the confines of this research project, this chapter will center on the challenges surrounding partnership building between the public sector and specifically, the private business sector. First, an explanation of what constitutes a complex problem, its effects on coordination, and its implications for partnership building will be offered. Secondly, an overview highlighting some of the fundamental differences between the public and private business sector and their impact to partnering is explored, and, lastly, specific public private partnership challenges are identified and discussed.

A. COORDINATION AND COMPLEX PROBLEMS

Efforts to provide a coordinated cross sector approach are particularly daunting given the nature of our system of government. As pointed out in *Emergency Management; Principles and Practice for Local Government*, "the U. S. national emergency management system is a complex network that includes federal, state, and local government agencies; special districts, and quasi-government organizations; nonprofit organizations; volunteers (both organizational and spontaneous); and private sector firms…." (Rubin, 2007, p. 36). Because authority is shared among differing levels

and branches of government and among different geographic jurisdictions, all with differing policies, procedures and priorities, determining responsibility for essential emergency management functions can be challenging at best and ineffectual at worst (Edwards & Goodrich, 2007, p. 59). Add to the puzzle a private business sector encompassing everything from international corporations; to critical infrastructure suppliers; to virtual Web-based enterprises; to the "mom and pop" corner grocery store, the complexities surrounding partnership building can easily increase exponentially.

In fact, Mark Gerencser, in his book entitled *Megacommunities* (2008), suggests that today's problems are so interconnected and interdependent whilst occurring at an unprecedented pace that public-private partnerships alone are inadequate to handle the complexities. Gerencser contends that a tri-sector approach is needed, i.e., business, the government, and civil society[3] (2008, p 30). Certainly during the response to recent disasters, all three sectors played important and necessary roles in rescue and recovery efforts. In fact, during Katrina some could say that the private sector and the charitable organizations were the only sectors getting anything accomplished in the early stages of the disaster (King, 2008; Perrow 2006). While Gerenscer's (2008) proposition has merit to forestall partnership efforts until such time that all three sectors (public, private, NGOs) can be fully integrated into a tri-sector partnership fails to recognize each sector's resource limitations and cultural differences. Taking a step-by-step approach, bringing in sector representatives incrementally, could prove more manageable during the initial phases of partnership development. Therefore, starting with the public and private business sector should not be viewed as an exclusive arrangement but rather as a starting point to build upon.

David Snowden (2007), in *A Leader's Framework for Decision Making,* suggests that much of contemporary business has shifted to the domain of emergence or complex context—a context where there is no definitive right answers but instead emerging patterns discovered through experimentation (2007, p. 4). Snowden suggests that most

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[3] Gerencser defines civil society as a collection of nongovernmental organizations also known as the "nonprofit world" (2008, p. 231).

businesses today operate in the realm of the complex because, among other things, they have a large number of nonlinear interacting elements where minor changes can produce disproportional consequences (2007, p. 6).

Similarly, on the homeland security front, Chris Bellavita posits in "Changing Homeland Security: Shape, Patterns, Not Programs," that the complex and chaotic context constitutes the "most significant strategic issues the homeland security community will face…" (2006, p. 8). He suggests that homeland security issues within the complex domain are "open problems" because they will never go away or be resolve fully and as such require new modes of inquiry and action beyond that which suffices in the ordered domain (2006, p. 8).

By drawing the analogy between Snowden's "dynamic nature of business" and Bellavita's "open problems of homeland security," one can begin to understand how partnership building between the private business sector and the public sector to enhance emergency preparedness and response could easily constitute a mammoth complex problem. Both Snowden (2007) and Bellavita (2006) opine that what is needed to tackle such complex problems is far from the traditional command and control, policy, and plan paradigms but, instead, the ability to recognize emerging patterns. Once recognized, leaders should observe their development, allow experimentation, provide incentives, influence by setting boundaries, stabilize desired patterns and destabilize disruptive ones (Bellavita, 2006, p. 15; Snowden 2007, p. 4). Perhaps more simply put, tackling complex problems requires the ability to create, adapt, and re-adapt to the ever changing environment through imaginative experimentation.

The idea that solutions for complex problems should be allowed to emerge rather than be dictated would seem to contradict the necessity for establishing partnerships prior to emergencies. However, if partnering is viewed as a means for finding solutions rather than the solution itself, partnerships could provide the conduit between disparate (complex) systems to allow for the emergence of new ideas and solutions.

B. FUNDAMENTAL DIFFERENCES

Public-private partnership development is not without obstacles. Research into the area of financial sharing enterprises (e.g., construction projects, road improvement projects) suggests there are fundamental challenges that exist in establishing public private partnerships. The difference between the two sectors' core business models and values hinders cooperation. Specifically, the public sector's core business model and values, namely, public objectives, political conditions, loyalty, process, and risk avoidance creates tension with the private sector's model of realizing profits, financial conditions, competitiveness, results based, risk, and innovation (Klijn & Teisman, 2003, p. 143). In fact, Klijn and Teisman conclude that the actors, arenas, networks, and strategies are so different between the public and private sectors that trying to build public private partnerships is "the right proposal at the wrong time" (p. 145). Klijn and Teisman's hypothesis while noteworthy suggests that only contractual agreements between the public and private sector will work. This may, in fact, be true in the context of construction projects; however, in the area of emergency preparedness and response, despite the lack of contractual agreements, the private sector, as illustrated earlier, readily contributes resources to their community in emergencies.

In a March 2008 report entitled *Making Hurricane Response More Effective,* Steven Horwitz argues, "Relief efforts need not take the form of public–private partnerships but, rather policy makers must ensure that public sector actors know that private firms are authorized to be part of the response and relief effort" (2008, p. 14). He claims that despite FEMA's massive failures during Katrina, improvement plans continue to focus on improving the government's response to future disaster (Horwitz, 2008, p. 1). He suggests that time and money would be better spent focusing on how to improve the structure of government in order to officially incorporate protocols, recognizing the private sector as an essential disaster response organization. In addition, he suggests that the government's centralized system is not set up to effectively engage the assistance of the private sector. He states that decentralization and incentives play a large part in an organization's ability to respond effectively. Specifically, the private sector's decentralized structure which allows them to tap into local knowledge and conditions

along with their profit and loss incentives which, provides specific focus for the task at hand, accounts for their effective response (Horwitz, 2008, p.2). He challenges the belief that all government needs is more will, resources, and/or expertise to respond effectively to disasters. In his 2008 piece entitled, *Walmart to the Rescue: Private Enterprise's Response to Katrina,* Horwitz attributes Walmart's successful response to Katrina as the product of incentives, knowledge, and superior organizational routines that emerge through private ownership and competitive markets (Horwitz & Dana, 2008, p. 24). He suggests that to improve response government relief should be decentralized to local government and non-governmental organizations. (Horwitz, 2008, p. 14). Having the authority to improvise and "do the right thing" highlights the value of decentralized decision-making (Horwitz, 2008, p. 4).

Although Horwitz (2008) argues that public-private partnerships are not necessary, he also suggests that "government" response would be improved if decentralized to local government. Some homeland security observers would agree that locally the public sector not only recognizes and embraces the private sector's contribution to emergency management efforts but also their many contributions to everyday community life. Local responders are very aware of the private sector's contributions. It is not unusual to see the private sector offer assistance to their community during both small and large scale incidents. Likewise, most first responders have stories and anecdotal evidence about business owners who stepped up to assist during a response. Certainly, those first responders working during 9/11, both at the World Trade Center and at the Pentagon have a multitude of stories about the assistance provided by private sector organizations. New York City Fire Department (FDNY) Battalion Chief Thomas Currao, Fire Liaison Officer for the Deutsch Bank deconstruction, relayed several examples of private sector assistance during the response to the World Trade Center: s Home Depot opening its doors to firefighters to access supplies, private marine vessels and tour boats ferrying evacuees from the World Trade Center (WTC) site over to safety in New Jersey, and restaurants, such as McDonalds, supplying food. Even chefs from local restaurants remained on duty to cook food for distribution (personal communication, August 11, 2009). Given local government's

recognition of private sector contributions, it would follow that establishing partnerships at a local level could provide the means for a more flexible and decentralized approach to emergency response.

John Harrald suggests that an open system, where information can be gathered and transmitted between sectors, is needed to effectively respond to emergencies (2006. p. 270). In his 2006 paper entitled, *Agility and Discipline: Critical Factors for Disaster Response*, he argues that government systems need to be both disciplined and agile. He claims that government focuses on the disciplined side of the equation through national doctrine, strategies, plans, and systems while neglecting the agile side (Harrald, 2006, p. 270). He further suggests, "We must recognize that the response to and recovery from a catastrophic event cannot be successful if only emergency management and first responders are prepared and expected to operate within a closed system" (2006, p. 270).

Many of the private sector disaster response stories point to the private sector's agility as the defining factor contributing to their success. Again, establishing a public-private partnership to share information, plans, and solutions would enhance response as well as provide for a more open system.

Personal experience and observations at the Pentagon during the many weeks following 9/11 demonstrated the significance of private sector contributions and its ability to respond. Although private sector contributions made at the Pentagon were made spontaneously, they were able to be integrated into the ongoing response because, as both Horwitz (2008) and Harrald (2006) argue, of decentralization and agility. Local responders had the authority to move beyond process and procedure to remain flexible and make decisions quickly to do what was necessary.

It is important to note, however, that although local responders may have had the flexibility to react to spontaneous events, it was not without costs. The reallocation of public resources to manage the convergence of assistance costs time and manpower. Had there been agreements and mechanisms for collaboration between the two sectors prior to the event, then mutually beneficial solutions could have fostered, which would have lessened the strain on resources for both parties.

Coordinating the private sector's efforts with that of the government's to avoid redundancy, miscommunication, and missed opportunities has been and continues to be a challenge. Consider a simple example: setting up water distribution centers. During a disaster it is not uncommon for water pumping station to become inoperable due to lack of power. Local government will spend tremendous amounts of time and resources setting up water distribution sites while neglecting its part to facilitate those factors that would contribute to getting retail / grocery stores open for business. A case in point, during the after math of a disaster, it is not unusual for the public sector to institute curfews during the nighttime hours for safety reasons. While the public sector's efforts are made with the best intentions, the unintended consequence leaves businesses unable to receive their routine deliveries of merchandise. The idea appears to be simple; ostensibly, the sooner stores can open the faster the public sector can get out of the water business and focus its attention on the long term recovery of the community.

During an interview with James Caverly, Director of the Partnership and Outreach Division, Department of Homeland Security (DHS), Office of Infrastructure Protection,[4] he posed the question, "is it our [government's] job to provide …food and ice to the community, or is it our job to make sure the community has food and ice?" (personal communication, September 4, 2009). The point is that the community would be better served if the government had focused on facilitating the private sector's capabilities, rather than trying to take them over. He suggested that post-Hurricane Andrew, the government came to realize that the private sector is much better suited to fulfill that mission and should therefore be considered an integral partner in disaster relief. Therefore, by coordinating preparedness efforts in advance, plans can be formulated to strengthen both public and private sector resilience.

By coordinating local government preparedness and response planning with the community's private business sector both parties will save time, resources, and expedite recovery. As one survey respondent said in a survey conducted by the Business Executives for National Security, "you don't want to be handing out business cards… in

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[4] Whose division is responsible for development of strategic relationships and information sharing with owners and operators of the nation's critical infrastructure and key resources.

the middle of an emergency" (BENS, 2007, p. 8). In the book, *The Starfish and the Spider*, the authors contrast decentralized (starfish) and centralized (spider) organizations suggesting that there is a "sweet spot" between the two that can offer a hybrid organization that capitalizes on each other strengths (Brafman & Beckstrom, 2006, pp. 164, 189). The idea of bringing the public and private business sectors together to enhance emergency preparedness and response should not be an all or nothing proposition but instead an effort to find the "sweet spot" for leveraging the strengths of each for the benefit of the whole.

C.   SPECIFIC CHALLENGES

Beyond fundamental organizational structures and systems, there remain other challenges to partnership building. Researchers point to several specific challenges to establishing public private partnerships namely, business rationale, trust, capacity, legal issues, and leadership (BENS, 2007; Klitgaad & Treverton, 2003; Morse, 2007; Raisch et al., 2007). This section will examine these challenges further to include the opinions of subject matter experts with experience in public private partnership development.

1.   Business Rationale

Some researchers argue that businesses need a clear and persuasive business rationale in order to invest time and money into partnership development (Raisch et al., 2007). Businesses have a fiduciary responsibility to their stockholders. Without a clear sense of how building a partnership will benefit their business, it becomes more difficult to get their participation in pre-crisis planning. Communicating the need to establish relationships prior to the crisis creates a challenge.

Some private sector businesses have found the business rationale for partnering with the public sector through their ability to decrease liability by managing risk better. As an example, in 2004, Joe Donovan, Senior Vice President of Beacon Capital

Partners,[5] changed his company's business model by insisting that property managers be responsible for more than just ensuring occupancy. They were risk managers and, therefore, had a fiduciary responsibility to view their role from a much wider spectrum. Since that time, Mr. Donovan has solicited the assistance from a multitude of public sector agencies to assist with his company's ongoing emergency preparedness training and exercise program (personal communication, August 10, 2009).

2. Trust

Overcoming the appearance of preferential treatment or favoritism presents a significant challenge for the government (Raisch et al., 2007). In some cases, in an effort to fortify emergency management programs, some business' status may in fact be improved based on its criticality to the recovery (water, power, and communication networks) process, potentially excluding competitors. Some businesses may allege that contracts for goods and services are no longer based on fair market standards. The notion that businesses are only motivated by profit might lead to mistrust, thereby, destroying any attempt at partnership building.

The fear of the misuse of sensitive information by non-governmental entities also inhibits trust building. Information sharing is an obstacle for businesses as well. The fear of public disclosure of propriety information in the competitive market inhibits businesses from making full disclosure of potential critical information or providing critical services (Raisch et al., 2007). By focusing on business infrastructure protective measures instead of a resiliency platform can stymie progress in developing an effective emergency management program (Raisch et al., 2007).

During interviews with the subject matter experts (SME), the topic of trust and trust building was a reoccurring theme. The former Acting Assistant Secretary for DHS's Private Sector Office,[6] Bridger McGaw, explained that open and transparent

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[5] Beacon Capital Partners is an international real estate management company that owns sixty six properties, encompassing over 28 million square feet of office space (personal communication, August 10, 2009) worldwide.

[6] Mr . McGaw is now the Director of the Private Sector Office.

communication was critical to building partnerships because it builds trust which, in turn, builds stakeholder investment leading to a sense of shared responsibility (personal communication, September 8, 2009). James Caverly, of DHS, talked about building trust as "breaking down some history" between the differing cultures of both government and private sector professions. Partnerships work to breach the divide between disciplines. Ira Tannebaum, the New York City Office of Emergency Management's Public Private Partnership Initiative Unit Coordinator, suggested that trust is a huge element in partnership building in particular, moving from personal trust between individuals to an organizational trust between entities (personal communication, May 19, 2009). The further trust is developed, the easier it is to share information. Matt Meyer, Vice President and Business Continuity Manager for Marshall & Isley Corporation (a financial services company) and Board member for the Southeast Wisconsin Homeland Security Partnership (SWHSP), referred to trust as the single most important factor for partnerships saying, "…without an open dialogue your [partnership] in trouble" (Southeast Wisconsin Homeland Security Partnership [SWSHP], 2004). Peter Ohtaki, Executive Director for the California Resiliency Alliance (formerly the Business Executive for National Security Bay Area Partnership) recognized that trust was important but also took time to develop, and therefore he suggested that setting up structures, such as committees, helped to build trusted relationships (personal communication. July 23, 2009).

John M. Bryson (2004), in his book *Strategic Planning for Public and Nonprofit Organizations*, posits that initially there must be enough trust between collaborators to take risks and do something together, which then leads to increased trust. Bryson cites the work of Vangen and Huxham by saying that trust ends up being an outcome of collaboration as much as a precondition of it (Bryson, 2004, p. 379).

3.   Capacity

Employee overload is an obstacle to partnering. Government's proactive commitment to numerous other initiatives in times of stagnant budgets and limited staff can overwhelm those tasked with building public-private partnerships. Likewise, the

proliferation of partnerships, task forces, and working groups can leave little time to implement any recommendations garnered from such efforts. The inability to offer a full commitment to the effort will leave employees feeling like they have wasted their time and energy. Robert Klitgaard refers to this phenomenon as "opportunity costs …things left undone because partnerships consume the time and attention of senior managers." (Klitgaard & Treverton, 2003, p. 13)   Klitgaard points out that the World Bank discovered it was a member of 87 different partnerships. In deciding which partnerships the Bank would continue to endorse, it decided to only continue in those with the greatest development impact, best leverage for resources, and the strongest synergies. (Klitgaard & Treveton, 2003, p. 14) In essence, the World Bank would endorse those partnerships with the most persuasive business rationale.

Another reoccurring theme related to capacity that emerged during interviews was the recognition of the difficulties related to partnership sustainability when there is no dedicated staff to push the partnership's mission forward, especially when individual members find themselves stretched beyond capacity, particularly during tough economic times. Paul France, Director of Southeast Region Wisconsin Emergency Management and Vice Chair of the Southeast Wisconsin Homeland Security Partnership (SWHSP), described how the SWHSP partnership has tried to mitigate the capacity issue by expanding the size of the SWHSP Board, requiring that each Board member participate on at least one committee. He went on to explain that although SWHSP membership may appear like "volunteer work," in reality it is a collateral duty because each member's agency has an expectation that their views will be represented in the partnership (personal communication, April 20, 2009).

Matt Meyer (Board member SWHSP) explained that for the private sector it is much like the chicken and the egg story: which comes first? In order for the private sector to continue to dedicate resources to the partnership. it needs to see the value; "…we have a difficult time in the private sector getting people to buy in to giving resources [time] to be able to work on some of the projects until there is some success to show that the project can be completed" (personal communication, May 12, 2009). Mr. Meyer felt that a dedicated staff person would help keep projects on task thereby creating

value. Interestingly, for all the federal government rhetoric about the need for public-private partnerships, support through federal grant monies is not as readily available. Unlike, for example, funding to support public-non/profit partnerships such as Wisconsin's Citizen and Organizations Active in Disasters (COAD) who currently has a full time grant funded program manager.

In the California Resiliency Alliance partnership model, Peter Ohtaki, as the Executive Director, provides a continuity of operations, in that his full time job is to ensure the goals and objectives for the partnership are met. Mr. Ohtaki explained that although some partnerships may fail because of lack of staff it is equally important to have a "clear action plan" to justify the need for a full time person (personal communication, July 23, 2009).

4.   Legal Issues

The literature indicates that one of the biggest challenges businesses face, in partnering with the government, is legal and regulatory barriers (BENS, 2007). In July 2007, the Assistant Secretary for the Private Sector Office of the Department of Homeland Security, when addressing challenges to public-private partnerships before the U.S. House of Representative Subcommittee on Homeland Security, stated that risks may include:

> Concern by the private sector regarding potential liabilities associated with sharing information with governments, and for voluntary actions taken to assist in recovery from disasters. Many businesses would like to collaborate, but are deterred by real or perceived liability issues. (Martinez-Fonts, Jr., 2007)

Lack of protection from law suits for "doing the right thing" hinders business' ability to contribute. The Business Executives for National Security stated, "The current legal and regulatory environment is conducive to neither predictability nor efficiency" (BENS, 2007, p. 31). Furthermore, the government's regulatory powers can hinder an open and above board relationship with businesses.

The issue of liability for the private sector is twofold; internally they may face significant legal liability for not undertaking preparedness efforts to mitigate exposure to risks while externally they could be held liable for voluntarily providing goods, services and capabilities in a disaster (BENS, 2007, p. 31; Raish et al., 2007, p. 22).

Generally, legal barriers were not highlighted during the interviews as a major stumbling block to establishing partnerships. However, during discussions related to fusion centers and sharing information with private sector partner, as well as the possibility of integrating the private sector into the centers, legal issues became a difficult hurdle to overcome. Virginia State Police Lieutenant Lee Miller, who oversees the day to day operations of the Virginia Fusion Center, explained the challenge by saying, "One of the tough things about having a private partnership relationship is knowing what can be provided to that private company as well as what information can be provided from that private company to the Fusion Center or to law enforcement" (personal communication, September 11, 2009). He went on to explain:

> …most of the information that we receive is either law enforcement sensitive or classified and trying to filter that information to those partners is sometimes difficult. A lot of the products that we receive from our federal partners whether it be DHS or FBI, it's either law enforcement sensitive or classified and a lot of times, we can't share that with those partners and that is a hurdle sometimes because a lot of those partners feel that they do have that right and need for that information. (Personal communication, September 11, 2009)

To deal with this hurdle, Lieutenant Miller explained that when possible the Virginia Fusion Center tries to "scrub" what information they can to provide the private sector with useful but unclassified information. Lieutenant Paul Felician, Officer of the SWHSP and Commander of the Southeast Terrorism Alerting Center (STAC) in Milwaukee Wisconsin, relayed a similar process that the STAC conducts before sharing information with the private sector (personal communication, July 7, 2009).

Although sharing law enforcement sensitive information is a challenge, both Lieutenants Miller and Felician remain proponents of partnering with the private sector. Lieutenant Felician pointed to the SWHSP as a "phenomenal" example of how the

partnership offers a vehicle for the private sector members to share information with each other. In particular, information regarding continuity planning, emergency preparedness planning, and common security issues can be shared amongst each other and then in turn shared with the public sector (personal communication, July 7, 2009). Lieutenant Miller relayed the importance of developing relationships with both public and private entities in order to leverage their networks as a resource for sharing information (personal communication, September 11, 2009).

5.   Leadership

Last, but certainly not least, is the need for leadership without, which any collaborative effort will be short lived. The challenge lies in finding leaders who have the forethought and ability to facilitate cross sector collaboration.   Ricardo Morse suggests, in his work entitled *Developing Public Leaders in an Age of Collaborative Governance,* that today's leaders need to be 'boundary-crossers" able to work in partnership with organizations across jurisdictional and sectoral boundaries (2007, p. 1). Morse goes on to cite O'Leary, Gerard, and Bingham's (2006) work in *Introduction to the Symposium on Collaborative Public Management* where they define collaborative public management as:

> …a concept that describes the process of facilitating and operating in multiorganizational arrangements to solve problems that cannot be solved or easily solved by single organizations. Collaborative means to *co-labor*, to cooperate to achieve common goals, working across boundaries in multisector relationships. Cooperation is based on the value of reciprocity. (2007. p. 7)

Certainly embarking on the path to establish a public-private partnership requires a collaborative form of leadership which is different from the traditional top down, command and control type of leadership that is typical in public sector arena. Ron Carlee, Arlington Virginia's County Manager, wrote in his paper entitled *Leadership in Emergency Management Networks*:

> Engaging in inter-organizational activities is fundamentally a human endeavor, the initiation and success of which is dependent on leaderships.

Networks do not just happen. Leaders at multiple levels of the relevant organizations must make personal and institutional commitments to work together. (2008, p. 196)

Mr. Carlee suggested, during the interview process, that two things have to happen to provide a foundation for developing networks, partnerships, or relationships. First, there must be an awareness of some underlying value in working with somebody else which requires that *somebody* do that. One must have a leader somewhere that is enlightened enough to know that there is value to be accomplished by bringing two or more parties together (personal communication, September 23, 2009). He stated, "That is the starting point, that's where is all begins" (personal communication, September 23, 2009). For partnerships to develop in a comprehensive, coordinated manner there must be an awareness of value and the leadership to facilitate bringing people together for the discussion.

Similar sentiments, related to collaborative leadership, were expressed by Steven Kay, Chairman of the SWHSP. When asked what he thought was needed to start a public private partnership, he responded, "more than anything else, a small cadre of passionate individuals who really see this as a benefit to their community and understand why it's a benefit and can transmit that message successfully to others" (personal communication, May 7, 2009). Likewise, Matt Meyer stated, "I just think you really need dedicated individuals of at least mid to large size organizations and public entities that are willing to go out on a limb and move something like this forward" (personal communication, May 12, 2009).

D. CONCLUSION

In this chapter, it has been argued that despite organizational differences there remains added value for the development of public private partnerships between local government and the private business sector. It is local government and local business that understand the needs of their community and will respond regardless of plans in place. However, it is also true that local government's decentralized structure, with its ability to be flexible and open, offers private business a doorway to partnering to

facilitate a more effective response. Through this collaborative effort, bringing different perspectives and cultures to bear, there is a higher likelihood that unforeseen solutions to emerging problems will be identified.

As pointed out in this chapter, however, there remain other challenges beyond organizational structures such as, business rationale, trust, capacity, legal issues, and leadership that must be addressed when developing partnerships. In Chapter IV, through interviews with federal, state, and local government, and business sector SMEs, it will be discovered through the examination of reoccurring themes which issues are most critical to the establishment and success of public private partnerships. Additionally, local government's role in partnering with the private business sector, as viewed by the SMEs, will also be examined. Lastly, Chapter IV will highlight three existing public private partnerships to provide examples of different ways of partnering.

IV.   PARTNERSHIPS AND PERSPECTIVES

In the last chapter several obstacles to public private partnership development were identified.   In particular, it was argued that although some researchers point to differing organizational structures (i.e., centralized versus decentralized systems or open versus closed systems) as a fundamental issue inhibiting collaboration, it is the federal government's lack of flexibility posing the toughest obstacle.   Local government, however, with its more open and flexible structure, provides better opportunity for partnering with the private business sector.   The complex nature of preparedness planning, particularly between these two different but interconnected sectors, requires a collaborative effort that can adapt and re-adapt to the changing environment.

The last chapter also highlighted other challenge areas that, if left unaddressed, will hinder partnerships efforts.   These areas will be further examined in this chapter as federal, state, and local government officials, along with private business representatives, offer their expert viewpoint regarding public private partnership for emergency preparedness and response.   This examination will provide the basis for the identification of those factors considered critical to the development of a public private partnership. Lastly, an overview of three different public private partnerships will be offered.

A.   PERSPECTIVES

1.   Federal

The federal government's establishment of the Department of Homeland Security (DHS), perhaps one of the largest reorganizations in history, has contributed to the complexity of private sector coordination. Within DHS alone, the Directorate of National Protection and Programs, the Directorate of Science and Technology, the Office of Policy, the Office of Public Affairs, the Office of Intelligence and Analysis, the Federal Emergency Management Administration, and the Homeland Security Advisory Council all have either private sector coordination functions or private sector representation.

Even beyond DHS, the Federal Bureau of Investigation has a private sector coordination function which, for private business, is primarily InfraGard.[7]

Given the breadth of influential areas the private sector touches, it is not hard to understand how, even conceptually, collaboration between the public and private sector is complicated at best and likely impossible across "all levels of society" at worst. Given the massive federal machine called DHS, where, according to federal homeland security officials, does local government fit when it comes to partnering with the private business sector? Is it a top down approach in which local government should rely on the federal government to "make introductions" before engaging with their community's private business sector? Is the federal system capable of preparing and responding to the hundreds of thousands of businesses spread across the country? Are there insights from DHS' interaction with the private sector on a national level that can be share as benchmarks with local government? Does the federal government (DHS) recognize local government as an integral piece of the partnership pie?

Bridger McGaw, the former Acting Assistant Secretary for the Department of Homeland Security's Private Sector Office, described the Private Sector Office's focus as creating and fostering strategic communications with the private sector in order to advise the Secretary of DHS on the impact of the department's policies on the private sector. By working with other federal agencies, private sector advisory councils, and through the promotion of public private partnerships the office works to provide collaboration and mutual support for homeland security challenges. During Mr. McGaw's tenure the Private Sector Office had broadened its focus to not only focus on trade associations, but also academic institutions, non-governmental organizations (NGOs), and non-profit organizations, looking across the preparedness spectrum, to identify the nature of existing partnerships and potential capability gaps. Although his office is nationally focused, he stated:

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[7] A partnership between the FBI and the private sector with over 10,000 members and 79 chapters throughout the 56 field divisions, designed to foster the exchange of information between law enforcement and the owners and operators of our nation's critical infrastructure (FBI, 2004, p. 49).

…the Secretary sees partnership with the private sector to be vital to the homeland security mission. There is a shared responsibility between government and the private sector to best leverage their unique capabilities and functions to ensure economic and national security. The reality is the majority of these partnerships have national level partners but have the greatest impact through their localized missions because crises are often local or regional. (Personal communication, September 8, 2009)

He went on to say:

…being able to build these partnerships might take national level focus and muscle [however] they are not sustainable without local buy in and also the shared understanding of the public-private engagement and two-way information sharing necessary to make the partnership real. (Personal communication, September 8, 2009)

When asked if local government had a role in building partnerships with the private business sector, Mr. McGaw replied:

It is imperative that state, local, public health, and homeland security officials partner with the business sector. In many ways, state and local governments are already working with their community leaders and large employers on a range of issues. If you're not working collaboratively with the private sector you may not be able to do what you need to do when the crisis arrives. The reality is you have to understand each other's abilities under duress in advance of the crisis. And exercising that engagement is important to. (Personal communication, September 8, 2009)

He explained that, in his view, the real first responders are actually the people who work at the places that have been targeted. The challenge is how to turn the people into some level of survivors over victims. He suggested that building capabilities and partnerships goes beyond awareness and education; it requires people to get out of their comfort zone and have serious conversations about serious problems by leveraging the information that has been written in thousands of best practice documents. Mr. McGaw said, "It's all about putting the data to work which requires leaders in both the public and private sector to start to apply the theories." He stated that there is a lot of opportunity for local government to build effective partnerships where a gap may exist or leverage existing partnerships for different purposes; some of which could be as simple as information sharing or training.

Mr. McGaw pointed to several factors that should be considered when establishing partnerships, such as, an open dialogue between all parties about why a partnership is needed, what outcome is hoped to be achieved, and how will the partnership define success. How will the business community know that the return on their investment has been achieved? Mr. McGaw explained that the importance of the questions is not whether there are "correct" answers, but rather that the group comes to an agreement about their answers. He opines that formal process and clear agreed upon objectives allows others, outside the partnership, to understand and join or support the group. According to Mr. McGaw, "The conversation is as important as the plan. But you need to plan too" (personal communication, September 8, 2009).

Mr. James Caverly, of DHS, suggested that the reason public private partnerships are needed is because there is a shared responsibility between private sector owners and operators of critical infrastructure and the government. He said, "…we have to change the picture from a command and control structure to a partnership structure because we are peers in this protection function" (personal communication, September 4, 2009). He explained, "We [DHS] started at the national level, which is what we're good at, creating a structure for partnership." The concept of sectors was created with coordinating councils (private sector and government) being utilized as the vertical method for information sharing. The challenge now, according to Mr. Caverly, is how can sectors communicate horizontally at the local level? He gave the following example; the national level deals with specific sectors, such as the chemical sector. Locally, a chemical plant in Buffalo marginally cares about what is happening at a chemical plant in Indiana, but what they do care about is what is happening with the electric system and the water system that supports their business. Mr. Caverly thought that state and local governments may be particularly suited to make this horizontal connection. He suggested that fusion centers may begin to be a basis for this type of integration. Specific to local government, Mr. Caverly said, "…the more information you can put in the hands of your local businesses when an event is happening, the better decisions they can make about what they do" (personal communication, September 4, 2009). He went on to posit that in some cases, if the event occurs at a private business, they are the first responders

so it only makes sense that they and the public safety first responders should be better connected (personal communication, September 4, 2009).

When discussing ways to establish a public private partnership, Mr. Caverly cautioned by saying, "You've got to be really careful about creating a structure to satisfy a single purpose unless that single purpose has an ongoing information flow, because you've seen groups start up with a lot of enthusiasm and then they just wither on the vine because the logic underneath them is not right to sustain it" (personal communication, September 4, 2009). Another challenge Mr. Caverly pointed to was the idea of partnership as an insurance policy. Specifically, how to sustain a partnership over time when years may go by before there is an event requiring the partnership to do something. He likens it to buying insurance; "You buy car insurance for 20 years and never have an accident, is it money wasted? However, if you do have an accident, the insurance was a good investment" (personal communication, September 4, 2009). How does one convince potential partnership members to "buy" the public private partnership "insurance?" Mr. Caverly suggested that leveraging existing groups that have a logic of their own and figuring out how to work with them may be the type of working relationship that could be sustainable over time.

Ms. Juliette Kayyem, Assistant Secretary for the Office of Intergovernmental Program within DHS' Office of the Under Secretary for National Protection and Programs, believes that when it comes to public private partnerships, the federal government [specifically DHS] can provide best practices and private sector outreach but it is the private sector work with state and local governments that understand the nuances of what is happening on the ground level can be worked out. She explained that the federal government is too large to understand all the needs of any one locality therefore it is up to state and local government to look at the private sector holistically in relation to their communities (personal communication, September 4, 2009).

Ms. Kayyem suggested that, particularly in these tough economic times, to try and develop yet another "new thing," instead of building on what's already been done, will likely not elicit much state or local political support. Likewise, she surmised that the private sector would be more likely to participate in a partnership that did not further tax

their limited resources. For example, the idea of instituting a new emergency support function (ESF) for the private sector could bring complaints about the lack of continuity among programs. Ms. Kayyem further explained by saying:

> One of the complaints we get as a department [DHS] and I certainly was ready to complain about [as Massachusetts' Undersecretary of Homeland Security] is the flavor of the month. So today you're waking up and you're thinking about public private partnership, and yesterday you were thinking about hurricane evacuations, and the day before you were thinking about transit. If you say we need a new ESF, everyone is going say they have no capacity for it. How do you work on it [establishing PPP] in the way that is not going be viewed as another flavor of the month? (Personal communication, September 4, 2009)

The review of academic literature, in combination with information gleaned through the interviews of federal government SMEs, suggests that the perspective of the federal government regarding public private partnerships is nationally focused, however, cognizant of the necessity for state and local engagement. Although the federal doctrine highlighted in this research represents nothing less than a massive complicated maze of interconnected missions, there is, at the very least, a significant recognition that local government and the private sector have important roles to play in securing the homeland.

The federal government, through its various national strategies, provides direction to federal agencies and guidance to state and local government to assist in creating an integrated system to prevent, protect, response, and recover from disasters. The nuance between "direction" and "guidance" is an important distinction. It recognizes the need for flexibility and customization when it comes to state and local government programs. There are 50 states and, according to the National League of Cities, over 19,000 municipal governments in the United States (National League of Cities, n.d.). It is clear that the federal government does not have the resources or capacity to address all the individual needs of every locality. What the federal government can offer is advice, best practice, ideas, and a strategic view of why and how partnering with the private sector is important for all levels of government.

Clearly, the SMEs interviewed saw local government as an integral piece of the collaboration pie when it comes to partnering with the private sector. In particular, their

recognition that local government understands the uniqueness of its jurisdiction and is therefore better able to address specific community interests. Additionally, the SMEs confirmed the research literature when discussing the need for an agreed upon mutual benefit with clear objectives (business rationale), the need to build upon existing networks (capacity), and open and transparent communication (building trust).

2.   State

Attempting to address the perspectives of all 50 states and over 75,000 municipalities would be a feat well beyond the limits of this research. As outlined in the methodology section of Chapter I, state and local government perspectives have been sought from SMEs encompassing a board representative base. Much like the federal government, states have strategies and policies abounding, filled with initiatives outlining their intent to better protect, prepare, respond to, and recover from emergencies. For example, the Commonwealth of Virginia's 2005 Secure Commonwealth Initiative Strategic Plan (SCISP) outlines a "…comprehensive integrated strategy of deterrence, prevention, response and recovery with an emphasis on risk management through optimal participation of citizens, federal, state, and local government authorities, and first responders, healthcare, utilities and private industry"(Commonwealth of Virginia, 2005, p. 60). Later in the 2009 version, 15 critical goals, objectives, and implementation steps are enumerated with ties to national priorities and target capabilities list (SCISP, 2009, p. 1). The 2009 SCISP identifies the Office of Commonwealth Preparedness, the Secure Commonwealth Panel, the Virginia Department of Emergency Management, the Virginia Military Advisory Council, the Commonwealth Preparedness Working Group, and the Regional Preparedness Advisory Committees as the coordinating groups making up the state's governance structure for emergency preparedness and response coordination (SCISP, 2009, pp. 5–6). Even at the state level roles overlap and responsibilities are board. Coupled with federal strategies and mandates it becomes clear why local government, while the member of a state and ultimately the nation, must focus on its community and the private business sector therein otherwise risk getting lost in the bureaucratic shuffle.

To that end, Mike McAllister, the Critical Infrastructure Protection Coordinator for Virginia's Office of Commonwealth Preparedness, posited during the interview process that the corner stone to partnering with the private sector was "creating relationships" (personal communication, September 11, 2009). In his singular position (he has no staff), he is charged with the development of the state's Critical Infrastructure Protection and Strategic Resiliency Plan. As part of the first steps in that process, state agencies were solicited to develop their sector specific plans. The importance of this process, according to Mr. McAllister, was more about bringing people together to build synergy then to provide a tactical operations plan. The process offered an opportunity for people to learn from each other and begin to understand their interconnected functions.

Toward developing partnerships, Mr. McAllister suggests that the wheel does not need to be reinvented. As part of his strategy to move to the next level of planning he is soliciting the assistance of Infragrad, the FBI conduit for working with the private sector. In his mind, the Infragrad membership represents some of the same private sector and local government entities he needs for his state planning efforts; they provide the ideal networking opportunity (personal communication, September 21, 2009).

Throughout the interview, Mr. McAllister pointed to consistency, persistence, dedication, network building, and having a plan as key elements for developing relationships to build partnerships. When asked if local government had a role in developing public private partnerships Mr. McAllister said, "Absolutely, especially in Virginia because it is where the rubber meets the road. My definition of success would be for me to sit back and watch the show put on by private industry and local government, doing things that need to get done" (personal communication, September 21, 2009).

Mr. Harry Colestock, Virginia's Emergency Operations Center (EOC) Director, which falls under responsibilities of Virginia's Department of Emergency Management, was interviewed regarding the EOC's involvement with the private business sector. Mr. Colestock explained his philosophy; if the state is going to recover from a disaster, the state needs the people who do that, namely the private business sector. He said, "The quicker they [business] get back to business, the quicker people will say things are back

to normal" (personal communication, September 21, 2009). The realization of this mutual benefit formatted his early discussions with the private sector as he not only sought their assistance but offer his assistance as well. Currently, representatives from the private business sector have seats in the Virginia EOC. Through exercises, training, and real world events, the state has learned how the private sector responds and operates. Mr. Colestock observed that during a crisis there is less competition between the private sector representatives in favor of cooperation, which he attributes to a shared sense of responsibility for the mission at hand.

Mr. Colestock explained that EOC operations in Texas and Florida provided models for working with the private sector. Working with Virginia's Retail Merchant's Association, three lines of business were identified as important partners during a crisis; food, general merchandise, and repair materials. Two companies were chosen from each category providing the largest customer representative base across the state.[8] Additionally, the EOC produces the daily Virginia Briefing Report that provides statewide situational awareness to over 2000 subscribers which includes businesses throughout the state (personal communication, September 21, 2009).

Mr. Colestock highlighted the vastness of the state's perspective, particularly given the landscape of Virginia, which encompasses everything from very urban cities adjacent to the Nation's Capital to very rural towns where the emergency manager is a volunteer firefighter; who responds from his house and uses the hood of his car as his EOC (personal communication, September 21, 2009). Even at the state level, it is abundantly clear that one size, one model, or one process will not fit all.

Sharing information with the private sector brings its own challenges. As noted in Chapter III, for Lieutenant Lee Miller of the Virginia Fusion Center, the most difficult part of his job, regarding the private sector, is determining what information the Fusion Center can and cannot share because of the sensitive nature of law enforcement information. Conversely, the propriety nature of private sector information is equally as sensitive and therefore not easily shared. To that end, he has found that having a formal

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[8] Food Lion, Kroger Food, Wal-mart, Target, Home Depot, and Lowes are the companies with representatives in Virginia's EOC.

process with private sector partners, such as a memorandum of understanding, helps by setting agreed upon expectations and deliverables. Another benefit of a formal process is ensuring the continuity of the program. As individuals come and go the program remains intact because all parties have agreed to provide a representative.

Capacity is a challenge that Lieutenant Miller faces daily as he tries to ensure that information is being shared throughout the state. To address that issue, the Fusion Center depends on the other state agencies to enlist their partnerships to assist in pushing information where it is needed. Lieutenant Miller said, "It would be impossible for us to create all these relationships with the resources we have" (personal communication, September 11, 2009). Each organization builds their trusted relationships amongst their partners and Lieutenant Miller leverages those relationships to disseminate information.

A perceived lack of coordination between federal, state, and local government entities is a complaint Lieutenant Miller hears from the private sector within the state. Particular to critical infrastructure issues, he relayed (while admittedly an exaggerated example) that the private sector is being visited one day by the FBI, the next day by DHS, another day by the state, and lastly, by the locality, all looking for the same information. To address this issue, Lieutenant Miller and Mike McAllister are attempting to build a partnership between all the government entities to provide continuity and coordination across the state and to ease the burden on the private sector.

From a different state's perspective, Paul France, Vice Chair of the Southeast Wisconsin Homeland Security Partnership and Director of Southeast Region of Wisconsin Emergency Management, explained the development of the SWHSP partnership as an outgrowth of their strategic planning process for the urban areas security initiative (UASI) program in early 2003. Driven initially by a single public sector employee, who had military experience and understood the importance of preparedness activities, the partnership idea emerged primarily focused on the city of Milwaukee. Soon thereafter a single private sector representative, also committed to preparedness, provided the catalyst for private sector involvement (Steven Kay, personal

communication, May 7, 2009). Not long after, they realized that the focus needed to be broader to include contiguous cities and thus the partnership moved to include the entire southeast region.

Mr. France explained that at the time establishing the partnership seemed complicated but upon reflection he stated, "…as I sit here talking to you about it, it's really not [complicated], it's easy to get four or five people that are committed to it [working together] to sit down and brainstorm a way to do it. Sometimes we make things more difficult than they need to be." He explained that there no perfect plans out there to follow each community must adapt and tweak to suit their needs (personal communication, April 20, 2009). According to Mr. France, without commitment and dedication, a public private partnership will not succeed. To maintain interest, the partnership must provide a service to its members and continue to be innovative in its approach to preparedness planning (personal communication, April 20, 2009).

3.   Local

Undoubtedly, New York City is the most densely populated city in the United States with a population of over 8.2 million people and a land area of only 305 square miles (New York City Department of City Planning, 2008, n.d.). New York City is also a global financial center, whose gross domestic product was $1.13 trillion in 2005, second only to Tokyo, Japan (Zumbrun, 2008). Given the extraordinary challenges facing New York City emergency managers to coordinate emergency preparedness and response initiatives, seeking insight into their perspective of public private partnerships was important.

New York City's Office of Emergency Management Public Private Partnership Initiative Unit Coordinator, Ira Tannenbaum, readily admits that, thus far, funding has not been an issue for them regarding the sustainability of their partnership work; however, even with that, his unit wrestles to meet the challenge of addressing the needs of the over 200,000 businesses in the city. To address this capacity issue, Mr. Tannenbaum's Unit works through trade associations to connect to businesses. Even this approach can present challenges, especially in today's economic climate. Trying to convince both

businesses and trade associations of the importance of emergency preparedness when many businesses are focused on economic recovery is not easy (personal communication, May 19, 2009).

Mr. Tannenbaum personally believes that the success of a public private partnership goes beyond just having a program, true success comes from the ability to share useful information that gets results. There must be a mutual benefit to all parties. He further hypothesized that New York City's public private partnership initiative will stand the test of time because, not only does city leadership support the concept, but the city takes it so seriously that it funds the program. By doing so, the city makes it a no cost endeavor for the private sector (personal communication, May 19, 2009).

Mutual benefit is achieved when the private sector better understands what the public sector will do in an emergency. Mr. Tannenbaum said that on occasion he jokingly refers to the Office of Emergency Management as the Office of Expectation Management. While some would say ideally the public should be able to expect whatever it wants from the city, in reality, there is likely going to be a gap between public expectations and actual resource capability. Given that realization, Mr. Tannenbaum said "Once the private sector understands what is actually going to happen and what the plan is then they can build their plans around that" (personal communication, May 19, 2009)

Ron Carlee, the former County Manager for Arlington, Virginia[9] and Director of Emergency Services on September 11, 2001, offered his thoughts about building partnerships as a necessary component of local government by saying:

> Relatively speaking, neither the state nor the federal government has much capacity at a local level. They can marshal some things together to do some stuff... but not much. That's not the business they're in. That's not the way government is structured in this country. And so the supports that people depend on, particularly in emergency management and homeland security are the supports at the local level. [Therefore] at the local level

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[9] Mr Carlee retired on October 30. 2009 from Arlington County after 30 years of service to join the International City/County Managers Association as their Executive in Residence/ Director of Strategic Domestic Initiatives.

that you need to have a network of partners working with you to be effective in emergency management or affordable housing or safety net services or whatever you want it to be.

Then you have to pull that together at the local level. I think that is a primary responsibility of local government. We're the only institution in a community that has the explicit responsibility to build community.

We sometimes describe what we do as providing services, but providing services is what we do, it's not why we do it. We provide services in order to build a really good community to live in. And that's the end game. That's our profit, a sustainable community where people want to live and work and visit.

And so we're trying to create a whole that's larger than the sum of the parts. And the parts are not just the services we provide, it's also what the private sector and the non-profits provide. You're not going have a great community without having a strong private and non-profit sector. And so it is our job to bring those different partners together. (Personal communication, September 23, 2009)

Mr. Carlee insisted that the public and private sector have a shared responsibility and it is local government's responsibility to act as a catalyst and facilitator to bring people together. However, to accomplish this task, as stated earlier, parties must have an awareness of the value and an agreement on the objectives for partnering. He posits that emergency management embodies a network approach rather then "one on one" relationships. He refers to it specifically as a "coordinated model of relationships" a level of complexity beyond one organization relating to another organization (personal communication, September 23, 2009). By leveraging the capacity of existing networks, a more robust partnership can be achieved. Mr. Carlee felt that Arlington may be particularly suited to building a public private partnership for emergency preparedness and response, not only because Arlington's 9/11 experience, but because of the county's long history of civic engagement and inclusive approach to governing.

The research findings from the state and local government interviews remain consistent with the literature regarding the challenges of public private partnership development. The examination of Virginia's strategies further highlights the complexities surrounding the coordination of a systematic response to disaster management. Even though, for example, Virginia's strategic planning efforts feed into federal plans, the mere fact that, in many instances, there may be only one or two people tasked with plan

development for the entire state could result in a less than comprehensive understanding of the plans amongst all stakeholders. Thus, ensuring a universal approach to engaging with the private business sector across the entire state is largely impossible, given the size of the state and resources available. For both the state and local level, capacity (not enough resources to do all the work) was a reoccurring theme that was universally dealt with, in one degree or another, by enlisting the help of groups or organizations with similar interests and stakeholders.

Other reoccurring themes center on first, the necessity to understand the interconnected functions of the sectors. Both the public and private sectors must become aware of the possibilities and opportunities to work together. Secondly, they must acknowledge that mutual benefit can be achieved if both sectors collaborate for a common goal. Defined objectives or, at least, an understanding of what is to be accomplished; in other words, having a plan of action is necessary to not only provide focus but to also engrain the idea of shared responsibility.

4. Business

Throughout this thesis much has been said about the government's need to partner with the private business sector. From strategic national plans to local programs to SME interviews, it is apparent that the federal, state, and local governments acknowledge that the private business sector should be included in emergency preparedness and response planning. The next logical step would be to consider the business perspective through an examination of business strategies and plans. However, according to the 2002 U.S. Census there are over 24.8 million business establishments in the United States (U.S. Census, Statistics about Business Size. 2002). It is highly likely, particularly given the competitive nature of private business, that each business has its own unique strategic plan for their particular business venture. Trying to examine even one plan and then attempting to extrapolate a universal overarching doctrine would not only be difficult but likely not provide an accurate comparative picture. Instead, SMEs from the private business sector, with experience working in partnerships with the public sector, were interviewed to garner insight into public private partnership development.

During an interview on July 23, 2009, Mr. Peter Ohtaki, Executive Director for the California Resiliency Alliance (CRA, formerly known as the Business Executives for National Security Bay Area Partnership), pointed to some very specific factors that have led to the success of the CRA and other BENS partnerships. Mr Ohtaki suggested that engagement, prioritization, and milestones were key concepts in developing and sustaining a partnership. Mr. Ohtaki relayed that when he first started as the Executive Director in March of 2005, he started partnership development following two tracks. First, he developed relationships with public sector agencies both at the county and the state level. Second, he developed relationships with the region's private sector side through a representative cross-section of companies from different industry sectors by targeting the leaders of the different sectors making up the regional economy. His intent from the beginning was to build a robust partnership with key agencies and key companies represented. To achieve this goal, Mr. Ohtaki networked aggressively by not only reaching out to individual agencies and companies but also by engaging existing associations whose membership represented potential partners. For example, associations such as the Bay Area Response Coalition (BARC*first*), the Business Recovery Managers Association, the California Grocers Association, and the Association of Contingency Planners were contacted and are now partners. Additionally, partnership members were invited to observe California's 2006 Golden Guardian exercise (an annual statewide emergency management exercise), which provided a defining moment for many members as it demonstrated the need for and value of private sector participation.

After identifying partners prioritizing agreed upon objectives provided the partnership focus and allowed the partnership to develop milestones. When milestones are achieved, the partnership is able to demonstrate added value to each member's home organization. Examples of milestones met by CRA include; the development and implementation of the State Business and Utilities Operation Center (BUOC), establishment of the Private Sector Liaison positions in county and state EOCs, and communication and resource tracking protocols. Mr. Ohtaki relayed that while the private sector needs to see an added value to partnering, he has also found that the public sector needs to see consistency and commitment. He conveyed that one challenge he

faces is reassuring the public sector that the partnership will endure over time. His experience has been that the public sector sees partnerships come and go so to build credibility the partnership must deliver on expectations. To illustrate that point, when CRA was able to bring national company representation (e.g., Chevron, Cisco, Oracle, Bank of America, etc.) to the table for the 2006 Golden Guardian exercise the public sector was able to see that the private sector was taking their role seriously.

Mr. Ohtaki further commented that some degree of institutionalization, some type of formal structure, is needed to bring groups together and provide consistency over time as people change positions. At a minimum, he believes a committee needs to be formed to achieve some outcome otherwise the partnership risks being considered just another meeting.

Resource capacity even remains a challenge for the CRA, despite having a paid executive director. Mr. Ohtaki finds that he is unable attend all the meetings he is invited to so he tries increase his "band width" by seeking help from committee members. What became clear from the interview with Mr. Ohtaki was his enthusiasm for his work. He exuded a sense of excitement about the partnership's work and its potential to really make a difference. It was apparent that Mr. Ohtaki was the champion for this partnership and provided the continuity necessary to maintain the partnerships' focus.

Mr. Joe Donovan, Senior Vice President of Beacon Capital, was interviewed on August 10, 2009. Mr. Donovan, although not in a formal local public-private partnership per se, works closely with many public safety agencies across the United States to develop emergency management exercises and plans for Beacon Capital properties. Mr. Donovan readily agreed to be interviewed because fundamentally he believes that the public sector and private sector have a shared responsibility to protect the nation and those who live and work it in. He stated, "The care and custody of people is everyone's responsibility." Specifically, his company believes that property managers are really risk managers with a fiduciary responsibility to consider a wide spectrum of responsibilities to include emergency management. Mr. Donovan illustrated the common benefit emergency management can have for everyone by stating, "Emergency preparedness is

non-competitive." He added, "If you don't have business, you don't have tax revenue. If you don't have tax revenue, you don't have government."

Mr. Donovan participates on several committees, including the Real Estate Roundtable and the Business Owners & Managers Association, which works on emergency preparedness committees primarily focused on national priorities, such as working with the Department of Homeland Security on critical infrastructure security planning. Through these affiliations, Mr. Donovan has cultivated a network of like minded people to further the idea that the private business sector has an important and vital role to play in emergency preparedness and response.

Through Beacon Capital's training and exercise program, Mr. Donovan starts a dialogue between the two sectors to demonstrate the mutual benefit that can be achieved by working together. Mr. Donovan brings people together from different disciplines both public and private to discuss how each will operate in an emergency. He said, "We all have to sit down around the table and say 'How are we going to work?' There's no play book. Events will be local, they always start local, so its local communities that have to band together, they have to." By engaging with different disciplines and seeking their input, he has been able to leverage their knowledge base and their contacts to increase his network. Each meeting, each exercise, and each encounter offers another opportunity to connect with like minded people and start to build relationships, which, according to Mr. Donovan, makes the country all better off in the long run.

The persuasive nature of Mr. Donovan's views coupled with his passion for the topic indicated that, once again, leadership is a driving force behind any partnership to include even those with less formal structure. Mr. Donovan relayed the story how in 2007, after participating in an impressive seminar in London called Project ARGUS.[10] He immediately arranged for the presenters to come to the United States to present the same seminar across the country to venues set up including both public and private sector representation. The project was a great success and helped to drive home his idea that

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[10] Project ARGUS (Area Reinforcement Gained Using Scenarios) is a United Kingdom National Counter Terrorism Security Office (NaCTSO) initiative which explores ways to aid businesses in preventing, preparing for, handling of and recovering from a terrorist attack (Pindoria. 2009).

emergency preparedness as a shared responsibility. Mr. Donovan's "get it done" approach epitomizes the kind of attitude which inspires innovation.

Two private sector members of the Southeast Wisconsin Homeland Security Partnership (SWHSP) were interviewed, Steven Kay, the Chairman of the SWHSP Board and Business Continuity and Crisis Manager for a large, multi-national healthcare company (interviewed on May 7, 2009) and Matthew Meyer, SWHSP Board member & Vice President and Business Continuity Manager for Marshall & Isley Corporation (interviewed on May 12, 2009). Mr. Kay's and Mr. Meyer's thoughts about factors such as trust, capacity, and leadership were highlighted earlier in this thesis. Beyond those factors, both Mr. Kay and Mr. Meyer were asked if the success of a partnership is viewed differently by the public sector versus the private sector. Both Mr. Kay and Mr. Meyer (although interviewed separately) replied, without hesitation, yes. Mr. Kay said, "We look through that prism from different angles and always have and I think always will." He attributes some of the schism between public and private sector expectations as a general lack of understanding of each others needs and capabilities. He said, however, "…this [partnership] provides the forum to talk about the different expectations and try to harmonize those expectations to get them both addressed."

Mr. Meyer felt the public sector perceives success simply because they were meeting. Even though the public sector networking opportunities the SWHSP has afforded him have been a positive outcome, he still has to balance that with the private business sector's need for deliverables. At the end of the day a business has to produce something, get something done, or complete a project.

In these tough economic times, getting companies to devote resources (people) to the partnership is a challenge. Mr. Kay pointed to funding as an obstacle; with no guaranteed funding stream, the partnership has no dedicated staff. Mr. Meyer felt the lack of dedicated staff contributed to delays and project set backs because all the members of the partnership had full time jobs outside of partnership work. Mr. Kay offered one method the SWHSP uses to combat the lack of resources. They try to apply their efforts to programs the public sector has to do anyway and expand them into the

private sector. As an example, Mr. Kay pointed to pandemic flu planning and perhaps how the private sector could be integrated into the plan as a response partner for employee vaccination.

The SWHSP Board of Director's format, while a shared leadership role, has endeavored to have the Chair and Vice Chair from alternating sectors. Initially, the SWHSP was chaired by a public sector person, which brought an emergency management perspective including the ability to easily interact with emergency response groups. Along with the public sector person came consensus building and mission definition. When the private sector took over the chairman position, the focus turned to goals, objectives and continuous measurements regarding constituent satisfaction. Something, Mr. Kay felt, the private sector was particularly geared towards since their livelihood relies on some form of customer satisfaction. The two different approaches melded well providing the necessary focus based on the task at hand.

The private business sector perspective regarding public private partnerships, from all accounts, mirrors those of the federal, state, and local government perspectives for the most part. All parties interviewed saw the criticality for strong leadership, trust building, and resource management. What was telling is the nuance between the public sector's view of success and the private sectors view; specifically the discussion centered around the lack of cross-sector capabilities and needs, along with the need for defined outcomes. Taking into account that the information about the public sector's view was gleaned from the private sector's perception, it is still an important distinction to consider to when developing recommendations.

The private sector interviewees were enthusiastic about the concept of public private partnerships and their potential to enhance not only their individual organizations but their communities as well. Each interviewee expressed a sense of community and that their organization played a vital role in their community's resilience.

B.   ANALYSIS

The overall analysis of the federal, state, local government and the private business sector perspectives, regarding the public private partnerships and local

government's role in their development, points to four main critical factors for consideration. While the four factors are consistent with the literature, they do not represent an all inclusive list of partnership building criteria. They do, however, represent the most critical reoccurring themes drawn from this research.

Leadership, first and foremost, is needed to move from an idea to a reality. Someone, either from the public or private sector, has to fundamentally believe there is a benefit to collaborating beyond their organization. Leaders must encourage, facilitate, and champion collaboration as an organizational edict necessary to accomplish the complexities surrounding cross-sector preparedness initiatives. In *Building Collaborative Capacity: An Innovative Strategy for Homeland Security Preparedne*ss, Hocevar, Thomas, and Jansen discuss the concept of collaborative capacity as, "the ability of organizations to enter into, develop, and sustain interorganizational systems in pursuit of collective outcomes" (2006, p. 256). As part of their research, they found that collaborative capacity may be built through leadership incentives (2006, p. 273). Bryson cautions not to underestimate the importance of leadership by stating, "Successful collaboration depends on having strong sponsors, champions, and facilitators committed to collaborative ways of working" (2004, p. 388). It follows then that without leadership support efforts to collaborate will likely to fail or wither away.

Brafman's and Beckstrom's (2006) theory regarding the power of decentralized organizations is comparable to the power of partnerships. In their book, *The Starfish and the Spider*, they opine that decentralized organizations have circles of influence of equally empowered members committed to an ideology whose power comes from the trusted relationships developed among networks. Rather than following rules, decentralized organizations are based on norms developed as a byproduct of shared ownership. Everyone has a stake in the enterprise, realizing that their contributions are the added value. Critical to this process is the need for catalysts and champions; people who provide the vision and promote the public value of the shared network (Brafman & Beckstrom, 2006). Bryson refers to a "monomaniac with a vision" as the catalyst needed to move a partnership forward (2004). These same criteria; commitment, trust, and shared

ownership are necessary for a successful partnership with leadership (catalyst / champion) being the necessary nexus to begin the process.

Secondly, the recognition of an added value, mutual benefit, or business rationale is required. All interviewees, regardless of sector, expressed the need to establish clear agreed upon objectives along with a plan of action to ensure all parties understand what benefits are to be achieved, what role they play, and what constitutes success. Regardless of sector perspective, all interviewees felt that without a clear plan support for a partnership would be difficult, if not impossible, to sustain over time. Likewise, in the same vein, this research showed that having deliverables is equally important to sustain a partnership. At the end of the day, both the public and private sector need to be able to point to something having been done in order to continue see the benefits of partnering.

Third, trust, as outlined in Chapter III, is important for partnership building because it provides for open communication, which cultivates a better understanding between sectors/disciplines thereby increasing organizational trust. Without trust participants will be reluctant to share information which ultimately will be the downfall of any partnership. Stephen M. R. Covey, in his book *The Speed of Trust*, suggests that trust is the one thing that if developed and leveraged will create unparallel success but without which destroy even the most thought out endeavor (2006, p. 1).

Lastly, capacity was a reoccurring theme, both sectors expressed the challenges they face regarding dedicating resources to partnerships, particularly in tough economic times. Everyone is being asked to do more with less; which means a partnership must ensure time is spent wisely, plans are achievable, and duplication is minimized. To address the issue of capacity, interviewees expressed the need to leverage existing networks to help avoid duplication and the "opportunity costs" that would likely arise from the lack of stakeholder analysis. In other words, by having a clear idea about who should be part of the partnership, seeking individual membership may not be as resourceful as seeking representation from existing organizations and associations with like objectives.

C. WHAT HAVE OTHERS DONE

There have been public-private partnerships forged since September 11, 2001 and more since Hurricane Katrina hit in 2005. This section highlights three partnerships developed specifically to address emergency preparedness and response.

1. California Resilience Alliance

The Business Executives for National Security (BENS) is one such example. BENS, founded in 1982, is a national nonpartisan organization dedicated to enhancing national security using successful models of the private sector (BENS, 2009b). One of BENS' initiatives includes supporting the establishment of public-private partnerships for emergency preparedness and response. BENS "works to mobilize private-sector support for all-hazards preparedness and response efforts and to help communities bounce back from disasters" (BENS, n.d. (b)). BENS has facilitated eight regional public private partnerships since 2002: the New Jersey Business Force, the MidAmerica Business Force, the BENS Bay Area Business Force (now called the California Resilience Alliance), the Safeguard Iowa Partnership, the BENS Georgia Business Force, the Colorado Emergency Preparedness Partnership, Massachusetts 2004 DNC effort, and Los Angeles Homeland Security Advisory Council. While each partnership is unique to its individual jurisdictional needs, all work to incorporate the private business sector into their respective jurisdiction's emergency preparedness and response systems. BENS gained momentum in the realm of public private partnerships when, after the 2005 hurricane season, they were asked by legislators and their own membership to offer advice regarding how to systematically integrate the private business sector into a comprehensive national disaster response system (BENS, 2007, p. 2). Through their 2007 *Getting Down to Business: An Action Plan for Public-Private Disaster Response Coordination, the Report of the Business Response Task Force*, BENS (2007) made numerous recommendations centered on public-private collaboration, surge capacity for private sector goods and services, and the legal and regulatory environment. In particular, BENS recommended that the private business sector should integrate with regional, state, and large urban city's emergency operations centers (EOC) through the

utilization of a Business Operations Center (BOC), thereby creating an operational capability (BENS, 2007, p. 15). Since this 2007 report, nearly all of the BENS sponsored partnerships now have seats in their state's EOCs, with several having elevated their participation to a BOC. For example, the BENS Georgia Business Force has and manages the BOC for the Georgia Emergency Management Agency (Georgia Business Force, n.d.)

BENS' public private partnerships funding sources vary amongst partnerships; however, most are sustained through membership dues and charitable contributions. Generally, dues are calculated by the size of the organization; the larger the organization the higher the dues. However, there are provisions allowing non-member participation in many of the voluntary information sharing and operational initiatives. For example, the BENS Bay Area Business Force has an EOC Private Sector Liaison program which places qualified private business sector volunteers in the state and regional EOCs as information conduits between the emergency operations center and the private sector (Ohtaki, n.d.). Each regional partnership has dedicated full time staff (from one to three people) to maintain the focus and direction for the partnership.

This year (2009) BENS started the process of devolving all of their partnerships to independent operations. The plan is for each partnership to become an autonomous 501(c)(3) organization.(BENS, 2009a). For example, the Bay Area Business Force is in the final stages of establishing the California Resiliency Alliance (CRA), an independent non-profit organization of which the Bay Area Business Force will be its first chapter. BENS' goal is to move from managing partnerships to facilitating the creation and operation of new self-managing public-private partnerships. (BENS, n.d.(a)).

2.   Southeast Wisconsin Homeland Security Partnership

An example of a slightly different approach to partnering is the Southeast Wisconsin Homeland Security Partnership (SWHSP). SWHSP is a non-profit organization established in 2004 "to foster collaboration between the private and public sectors to enhance homeland security by facilitating the identification and implementation of ways to further improve the Southeastern Wisconsin region's

capabilities to protect against threats and respond to and recover expeditiously from significant attacks and disruptions" (SWSHP, 2004). The SWHSP is a regional partnership comprised of public and private sector representatives from the seven cities and counties referred to as Southeast Wisconsin. The partnership has a very modest dues structure (the same cost regardless of size of agency) constructed specifically to make it monetarily feasible for potential members. Steven M. Kay, the Chairman of the Board of Directors for SWHSP, stated that the organization' members did not want a huge fundraising requirement as part of the work of the partnership, and they wanted the partnership to be "something virtually anybody could join" (personal communication, May 7, 2009).

The by-Laws for the SWHSP, Inc. highlight the specific corporation's purposes relating to homeland security are:

1. To lessen the burdens of government by developing, implementing and maintaining effective, integrated homeland security initiatives.

2. To improve the ability of the public sector and the private sector to collaborate in order to enhance the security of the homeland in Southeast Wisconsin.

3. To enhance the integration of local, regional and national homeland security initiatives in order to help create and sustain a seamless response system for securing the homeland throughout the State of Wisconsin and the United States.

4. To educate and train security and emergency response personnel in both the public sector and the private sector in methods of effectively preventing and responding to terrorism and mass casualty events.

5. To achieve cooperation amongst private enterprises, law enforcement agencies, fire and emergency medical service agencies, hospitals, medical organizations, emergency management organizations, public health organizations, emergency response organizations and other community members in order to create an effective and efficient terrorism and mass casualty event prevention and response system. (Southeast Wisconsin Homeland Security Partnership, Inc., 2004)

The SWHSP is governed by a Board of Directors, comprised of members from both the public and private sectors. Currently, Steven M. Kay, the Business Continuity and Crisis Manager for a large, multi-national healthcare company, serves as Chairman.

Since its inception, the partnership as strived to alternate the chairman and vice chairman positions between public and private sector representatives in order to enhance a shared leadership role (S.M. Kay, personal communication, May 7, 2009).

3.   New York City's Public Private Partnerships Initiative Unit

Yet another example of an ongoing public-private partnership is the work being done by New York City's Office of Emergency Management (NYCOEM). After 9/11, New York City recognized the need to collaborate with the private sector in a more coordinated way and from that the Office of Emergency Management established a Public-Private Partnership Initiatives Unit (PPIU) currently comprised of three full time employees. The partnership is different from BENS and SWHSP in that it is not a formal incorporated non-profit organization lead by a Board of Directors but rather a local government initiative formed to engage the private sector in preparedness and response planning. There are approximately 220,000 businesses within the city, with the vast majority being small to mid-size businesses, which makes outreach a challenge. To address that challenge, the PPIU spends a significant amount of time reaching out to existing business networks, such as trade and business associations, as means to develop relationships and solicit partners to further an integrated emergency planning approach to protecting the city.

NYCOEM also has a robust operational component to its partnership initiative. Currently, its EOC has 18 seats dedicated to the private sector to enhance its collaboration during emergency operations. Depending on the incident, private sector representatives may either interact with the EOC virtually or literally respond to the build and take their seat. Additionally, NYCOEM has instituted several program initiatives to enhance private sector integration during an emergency. The Corporate Emergency Access System (CEAS) provides authorization to essential business employees, allowing them to gain access to their facilities after a disaster. The Private Asset Logistics Management System (PALMS) is a spinoff of the City's Citywide Asset Logistics Management System (CALMS). CALMS is a database that allows city agencies to record resources (both equipment and personnel) that they use in an emergency, thereby

allowing OEM to better account for and track availability of resources across the city. PALMS is a voluntary opportunity for private businesses to register resources that they are willing to contribute to the city during an emergency, which broadens OEM's resource pool. CorpNet is a means for NYOEM to share emergency information with the private business sector. Businesses can sign up for the paging service to receive important information being pushed out by OEM.

4.   Analysis

Even though the offered partnership examples are structured either around a non-profit status or a governmental agency, there is nothing that says partnership development must be initially that formal. The purpose may, in the early stages, be ambiguous and vague with people coming together for the simple idea that they should know each other (Carlee, 2008, p 200). Taking this into account, developing a partnership must first start by reaching out to potential stakeholders as a source for networking, capacity building, mutual benefit, and, perhaps most importantly, identification of commonalities.

It is this researcher's conclusion that despite the lack of catastrophic disasters like 9/11 or Hurricane Katrina, each of the aforementioned partnerships has remained viable, in large part, because it has committed members who have taken personal ownership for the success of the partnership. In essence, leadership, dedication, and commitment to a vision that there is mutual benefit for both the public and private sector points to the sustainability of partnerships over time.

It is clear that there is no one model of partnership that will work for every jurisdiction. Each jurisdiction has its own distinct characteristics that will influence how and why partnerships may emerge. In particular, differences related to size, threat, risk, and available resources will have an impact. For example, a very large metropolitan city, like New York City, with its vast array of resources, coupled with its high threat level, is able to dedicate public sector resources to partnership building.

On the other hand, other jurisdictions with less resources and lower threat levels have to balance the dedication of resources based on an analysis of potential benefits. As in SWHSP, Board members have added their partnership activities to their list of regular

duties. Likewise, a jurisdiction's culture of civic engagement can be a determining factor for partnership building. Ron Carlee described Arlington's history of civic engagement as an asset, particularly Arlington's long tradition of linking people outside its borders into its own community and into adjacent communities. This is a collaborative process that is not uniformly practiced everywhere in the U. S. Conversely, Mr. Carlee suggested that being so intricately related to Washington, D.C. provides a challenge for Arlington. Many multi-national businesses are located in Arlington not because of Arlington but rather because of the economic value Arlington offers (low tax rate, lower rent) and its proximity to Washington, D.C. The challenge is then trying to engage these businesses in "things that are about Arlington," such as joining the Arlington's Chamber of Commerce (personal communication, September 23, 2009).

Brit Weber, Director of CIP, stated that it has been his experience, through his program, that organizational culture really influences how far organizations will not only participate but also see potential in partnership building. Therefore, in his view, public private partnerships need to be flexible. His experience has confirmed for him that there is no one size that fits all, but rather partnerships are being built from the "top down and bottom up" in other words, depending on the jurisdiction it may be a state led effort, or a local effort, or even a private sector lead venture (personal communication, August 19, 2009). Mr. Weber opines federal mandates requiring adherence to a specific public private partnership model would be counterproductive and ultimately fail because mandates lack the fundamental understanding that each jurisdiction is unique and therefore requires a customized approach.

James Caverly, of DHS, relayed that building a relationship between the public and private sector to exchange information "…is more of an art than a science" (personal communication, September 4, 2009). This concept of art speaks of the human element, namely leadership, as a necessary component for any collaborative work to be successful. Given the directive nature of mandates, it is impossible to imagine how leadership could be mandated.

D.   CONCLUSION

In this chapter, the importance for local government to build partnerships with the private business sector was examined from the perspectives of federal, state, and local government SMEs, along with private business SMEs. It was discovered that while partnering with the private business sector is viewed as important, there is no "one size fits all" paradigm that will fulfill the needs of all jurisdictions. Instead, there are fundamental overarching factors to be considered as any jurisdiction contemplates developing a public private partnership. Specifically, leadership, trust, mutual benefit, and capacity were identified as crucial components to a successful partnership. It was also suggested that partnerships initially may not need to be complicated, formal, or rigid but rather could simply start as an outcome of a common need. For example, a local government may need to increase its capacity to administer vaccine while at the same time a local business would like to get its employees vaccinated. By working together, employees could be trained to administer vaccine, thus each party leverages their assets to ultimately achieve a mutually beneficial outcome.

This chapter also provided an overview of three public private partnerships to illustrate some of the different approaches others have used for collaboration. Again, what was clear from the examples of partnerships given is that leadership, dedication, and commitment are the driving forces behind sustainment.   Although these three partnerships could be considered as models for others to consider, it is the fact that these partnerships addressed the aforementioned crucial factors, in one way or another that provides the best practice. Each partnership is unique to its community of interest but nonetheless recognizes the most important variables and adapts to address them.   In Chapter V, recommendations will be offered regarding how local government might begin to engage their community's private business sector for emergency preparedness and response.

V. CONCLUSION AND RECOMMENDATIONS

This thesis started with the claim that because of the private business sector's integral role in the health and well-being of communities, local government is obliged to build collaborative relationships with the private sector to ensure a coordinated comprehensive emergency management plan. Furthermore, this collaborative effort should take the form of a public private partnership. Evidence was offered in Chapter II pointing to community resilience and resource sharing as compelling reasons for local government and private business to partner. Likewise it was pointed out that although private business has historically offered assistance in times of crisis and will likely continue in the same vein, establishing partnerships prior to an emergency offers an opportunity to plan for a more effective response, therefore decreasing the burden on any one entity.

In Chapters III and IV it was argued that despite fundamental organizational differences between the public and private sectors, it is local government's flexibility and ability to adapt that offers the best venue for collaboration with the private business sector. However, because each jurisdiction is unique, there is no set model that will work across all jurisdictions. In fact, a mandated model would very likely fail because it would lack the recognition of jurisdictional nuances.

Chapter IV went on to argue that even if local government and the private business sector can overcome organizational differences, there remain challenges to partnering. Both the literature review and interviews with subject matter experts revealed overarching factors that must be addressed in order to establish and sustain a public private partnership. Specifically, leadership, trust, mutual benefit, and capacity were considered the most critical factors requiring attention when establishing a partnership between local government and the private business sector. These four factors were not offered as an all inclusive list but rather were seen as those essential elements without which any partnering effort will fail.

The ultimate goal of this research was to provide recommendations to local government for collaborating with the private business sector in an effective, coordinated, and productive manner. Both the literature and SMEs interviews suggest that the establishment of a public-private partnership is a feasible framework for such collaboration provided specific factors are addressed early in the process. Literature and SME experience also showed that while building partnerships can provide mutual benefit to both the public and private business sector, they take leadership, trust, commitment, and resources which may not be always readily available. Likewise, given the wide disparity in local government capabilities and resources across the United States, it is likely not all jurisdictions will view establishing a public private partnership as an imminent priority and, as such, maintaining the status quo will be the preference.

For varying reasons, from resource shortages to unperceived need, some local governments will opt not to commit to a partnership strategy. Moreover, some localities may feel that their current method of private business sector engagement meets the needs of their community. Therefore, to characterize emergency preparedness and response planning as a looming failure lest the private sector is intimately incorporated into the process via a partnership paradigm is an exaggeration. History has shown that the private business sector will respond to the needs of its employees and community in times of trouble. Likewise, the public sector will reach out to the private business sector to solicit its expertise and resources when faced with large emergencies. In the chaotic state of an emergency, answers will emerge through a combination of stabilization and innovation (Bellavita, 2006, p. 11). There will be those in both the public and private sector who will abandon strict adherence to plans, policies, and procedures to address urgent life safety issues with little regard for whose sector is most affected. While this approach may lead to an improvised response, it has provided utility in the past. During the response to 9/11 and Hurricane Katrina, many of the private business sector contributions were not well coordinated with the public sector, but, regardless of the lack of coordination, contributions were still made and were a defining factor in the positive aspects of the overall response.

Without public private partnerships, the government will likely continue to rely on pre-existing contractual agreements as its means of collaboration with the private business sector. What is important to note is that on a federal, state, and even a local government level, many contractual agreements are with national level businesses located well outside the effected community and hence have little, if any, impact on how local small and medium size businesses response to the emergency. As an illustrative example, in an emergency the federal government interests lie in the sustained integrity of the national food supply from its agricultural base through to its supply chain and distribution. State government interests lie in its ability to provide assistance to as many localities as possible through those grocers servicing the largest customer base for the state. Local government interests lie in the ability to communicate to and work with the local grocery store owners and managers to provide and seek mutual assistance. Continuing to only rely on contractual agreements with private business overlooks local private business's importance as a contributing community member. Establishing a partnership between the public and private business sector seeks to mitigate some of the chaotic nature of emergencies by pre-identifying commonalities, capabilities, needs, resources, and responsibilities. In essence, by preparing ahead of time and instituting a conduit for communication, future response and recovery efforts will be faster, more efficient, and less duplicative.

A. RECOMMENDATIONS

Before local government can develop support for a public private partnership amongst the business community, it must first develop support amongst its own departments. Moving too quickly, without the buy-in from those departments expected to participate, will likely result in an unsuccessful process. Therefore, to start the process of collaboration, local government must first seek to develop the specific factors identified in this thesis, namely leadership, trust, mutual benefit and capacity, with those local government departments identified as potential partnership participants.

1. Local Government Cross Disciplined Approach

To best facilitate a public private partnership for emergency preparedness and response, local government must first identify the department whose mission most closely aligns with such an initiative. For most jurisdictions, their emergency management department, tasked specifically with coordinating the emergency management preparedness and planning efforts throughout the community, is the most logical choice to begin the process. While emergency management may be the logical conduit for this initiative, it cannot be the only department tapped for resources. Building such a partnership requires input from the other departments who routinely interact with the private sector, particularly those departments related to public safety and community resilience. Furthermore, while the premise for this partnership initiative recognizes that the private business sector needs a persuasive business rationale before investing resources towards a partnership, it is equally true that the public sector must have a system in place to provide services unique to private business sector needs. If the overarching goal is a prepared the community, then local government must also be prepared to engage in and facilitate the necessary networking tools.

As the literature and SMEs research suggests, building a partnership requires reaching out to existing networks. With that in mind, emergency management must reach out to internal local government networks to build the internal constituency necessary to provide a comprehensive and coordinated approach to subsequently solicit the interest of the private business sector. In other words, local government must rally around the concept and develop an agreed upon goal before reaching out to the private business sector. Otherwise, risk overlapping initiatives will cause frustration and confusion not only amongst staff but, in particular, for the private business sector which would undoubtedly negatively influence its degree of participation.

Public safety agencies, namely police and fire, have existing programs in the areas of crime prevention and fire prevention, respectively, where interaction with the private business sector is ongoing. Each department has developed relationships, forged alliances, and built its own network with private business owners and operators. What

has not happened is a blending of networks, a cross-disciplined approach to building relationships. Granted each department's program differs in focus, but because they both have underlying themes of preparedness and prevention, each department could benefit from the other's network. For example, the fire prevention program engages with a network of building engineers. The police department's crime prevention program engages with a network of private security personnel. Both programs work well but would be enhanced by information flowing not only within each group but between each group as well.

Many local jurisdictions have a department charged with coordinating the locality's economic development. For example, in Arlington County, Virginia, Arlington Economic Development (AED) provides services to the private business sector through various programs such as the Business Investment Group, the Real Estate Development Group, the Convention and Visitor's Center, and through partnerships with the county's five business improvement districts. The network of private business sector representatives AED interacts with daily would provide a conduit for partnering and increase awareness across disciplines.

By combining the preparedness planning efforts of the public safety agencies into one collaborative initiative, coupled with the business savvy of an economic development department, local government could provide the private business sector not only with valuable information but also reduce duplication and time while increasing an the opportunity for network integration. Additionally, each discipline's private sector contacts, such as, trade associations, chamber of commerce, working groups, and the like, will further develop the overall network. These same benefits would apply to local government by providing a force multiplier and increasing interdepartmental communications and awareness. The strategy proposes to combine the efforts of the public safety agencies, with the assistance of economic development, to provide a collaborative, integrated message for preparedness planning. This, in turn, increases networking, manpower, and decreases duplication of effort.

Certainly, any sudden mandated change to department's current efforts to engage the private business sector would likely face resistant. Each department undoubtedly

possesses a sense of ownership for the relationships it has developed over time. Sharing such ownership may feel intrusive and threatening. The lack of expertise or credentials to understand the particulars along with the nuances of each discipline may be the excuse given to reject the new strategy. Therefore, it is vital that this new strategy ultimately come as a result of a combined initiative, seeking input from all disciplines, which then will decide if there is value to them and their networks, value innovation requires both (Kim & Mauborgne, 2005). Moving from a structuralist view, where industries (disciplines) are set and firms (departments) only compete (work) within, to a reconstructionist view, where boundaries and structure is not given and can be reconfigured by the departments, is essentially what this strategy is asking departments to consider (Kim & Mauborgne, 2005).

a.   Strategy Canvas and ERRC Grid

The Strategy Canvas (Kim & Mauborgne, 2004. p. 25) in Figure 3 illustrates local government's current state of engagement with the private business sector in comparison to the propose value innovation of a cross-discipline strategy for building public private partnerships.
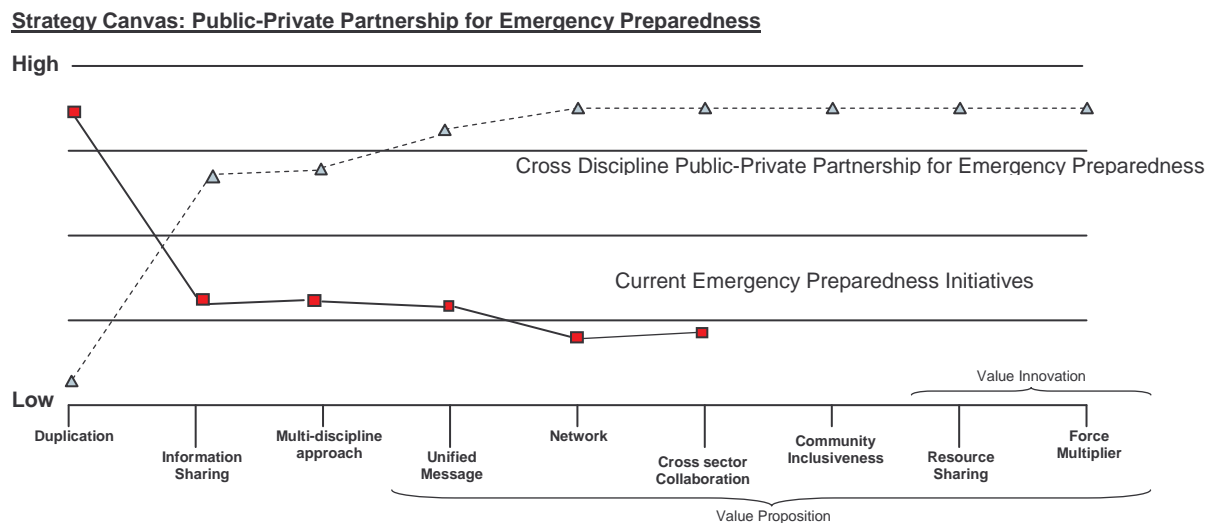

Figure 2.   Strategy Canvas: Public Private Partnership for Emergency Preparedness

This cross discipline strategy seeks to decrease duplication of effort by providing for a unified, cross-disciplined approach to building a partnership with the private business sector through leveraging each others networks. Each department would be represented within the partnership providing a resource for networking and information sharing. Over time, as trust increased and expertise is shared, each discipline could represent the other when interacting with the private sector which could constitute a force multiplier. Certainly, there will be tasks specific to each discipline that will remain intact but, even given this limitation, new interactions can still be shared and added to the network.

The Eliminate-Reduce-Raise-Create Grid (ERRC Grid) (Kim & Mauborgne, 2005) in Table 1 further illustrates how a cross discipline strategy benefits both the public and private sector through increased awareness, collaboration and resource sharing while reducing duplication, conflicting information, and territorialism.

Table 1.   Eliminate-Reduce-Raise-Create Grid for Cross Discipline Approach

Eliminate	Raise
Discipline centric focus Territorialism	Multi-discipline approach Information sharing / Unified Message Networking Cross-sector collaboration Community inclusiveness
Reduce	Create
Duplication Conflicting information	Resource sharing Force multiplier

Perhaps most importantly, in order for any strategy to be successful local government leadership must embrace the concept as a government wide commitment for partnership building. Leadership must lend its support for the initiative by clearly targeting it as a priority. Particularly given the recent economic downfall with

departmental priorities centering on budget related issue, leadership must make the case that this strategy has the potential to save resources through shared responsibilities. Conversely, leadership must assure departments that this strategy is meant to give them greater visibility into areas of collective interest and is not a means to supplant their authority and/or primary responsibility.

2.   Incentives

To encourage the private business sector to participate in emergency preparedness response efforts, local government should explore ways to provide incentives. For example, some type of tax relief could be offered to those businesses able to produce and demonstrate their continuity of operations plans (COOP). If a business has a COOP, it is likely they will need less public resources in times of crisis and therefore should be allowed to pay fewer taxes. Building permit fees and occupancy permit fees could be reduced for those building owners willing to share their emergency plans and procedures with local government emergency management. As an example of other types of incentives given to businesses, in Arlington County, Virginia developers are offered a density bonus if they incorporate "green" building components into their building plans (Arlington Economic Development, n.d., p. 21). Perhaps annual fire alarm inspection fees could be reduced if building owners participated in a public private partnership or an annual emergency preparedness drill.

These and other incentives could be offered if private businesses participated in a voluntary certification program, such as the Department of Homeland Security's Voluntary Private Sector Preparedness Accreditation and Certification Program (PS-Prep) that is currently being developed (DHS, 2008) This same certification could also allow private business to be eligible for reduced insurance rates as well.

If local government is serious about engaging the private business sector in emergency preparedness and response efforts, it would be advantageous to seek business owners' input regarding incentives that would provide a mutually beneficial outcome.

APPENDIX   INTERVIEWS

Affiliation	Name	Job Title & Agency
Federal	James Caverly	Director of Partnership and Outreach Division within DHS Infrastructure Protection Directorate
	Juliette Kayyem	Asst Secretary for DHS Intergovernmental Programs
	Bridger McGaw	Former Acting Asst. Secretary for DHS Private Sector Office, currently the Director of the Private Sector Office
State	Harry Colestock	EOC Director for Virginia Dept of Emergency Management
	Paul France	Director, Southeast Wisconsin Emergency Management & Vice Chair of Southeast Wisconsin Homeland Security Partnership (SWHSP)
	Mike McAllister	Private Sector Coordinator for Virginia's Office of Commonwealth Preparedness
	Lee Miller	Lieutenant, Virginia State Police / Fusion Center Operations Commander
Local	Ron Carlee	Arlington, Virginia Former County Manager currently Executive in Residence International City/ County Managers Association
	Paul Felician	Lieutenant, Milwaukee Police Dept., Southeast Wisconsin Terrorism Alert Center
	Ira Tannenbaum	Public-Private Partnership Initiative Coordinator for New York City's Office of Emergency Management
Private Sector	Joe Donovan	Senior Vice President, Beacon Capital Partners
	Steven Kay	SWHSP Board Chairman, & Business Continuity and Crisis Manager for a large, multi-national healthcare company
	Matt Meyer	SWHSP Officer & Vice President and Business Continuity Manager for Marshall & Isley Corp.
	Peter Ohtaki	Executive Director, California Resiliency Alliance (formerly Business Executives for National Security's Bay Area Partnership)
Academia	Brit Weber	Director of Michigan University's Critical Incident Protocol Program

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